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CONTENTS

LIST OF TABLES AND FIGURES	viii
ACKNOWLEDGEMENTS	x
GLOSSARY	xii
ABSTRACT	xiii
CHAPTER 1: INTRODUCTION	1
My background	2
Why research the concept of strategic leadership in the AU3?	3
Purpose of the study	5
Research questions	6
Conceptual approach	6
Overview of each chapter	7
CHAPTER 2: THE CONTEXTUAL BACKGROUND OF THE STUDY	9
The context of higher education in Africa	9
The creation of universities in Africa and their importance	11
Factors affecting universities in Africa	14
African leadership and its cultural and colonial heritage	18
Cultural and colonial heritage	20
The country context: the Republic of Benin	23
The university AU3	25
Challenges faced by the AU3	26
The roles and responsibilities of the rectorial team	26
Administration and governance	27
Enrolment	29
Academic and teaching staff	30
CHAPTER 3: ANALYSIS OF RELEVANT LITERATURE	33
Strategic leadership in higher education	33
Key theories, concepts and ideas in conceptualising ‘leadership’	35
Essentialist theories	36
Relational theories	36
Critical theories	37

Constructionist theories	38
Ethical leadership	39
Spiritual leadership	39
The authentic leader theory	40
Conceptualising 'strategy'	41
The origins and definitions of 'strategic leadership'	44
Definitions of strategic leadership	46
The motivational approach to leadership:	47
transformational and transactional leadership	
Distributed leadership	48
Strategic leadership	48
The main questions and problems relating to strategic leadership that have been addressed to date	55
Open system theory	61
Contingency theory	62
Resource dependence theory	62
Conclusion	63

CHAPTER 4: METHODOLOGY **64**

Epistemology	66
Positivism versus phenomenology/interpretivism	68
The research approach	71
Strategic leadership and qualitative research	71
Research purpose	74
Pilot Study	74
Aims and objectives	74
Sampling strategy for the pilot	75
Amendments derived from the pilot	75
Sample strategy for the main study	77
Research design	78
Case study	79
Data collection instruments	82
Semi-structured interviews	82
Nature and questions asked	83
The insider/outsider continuum during my research	83
Interview process: research procedure	87

Documentation as a source of evidence	90
Selecting documentary sources	91
Data analysis	93
Grounded theory	93
Research processes: sampling strategy, validity, reliability, and generalisability	100
Validity, reliability, and generalisability	100
Ethical concerns	102
Access issues	103
Anonymity, confidentiality, and data protection	105
Conclusion	105

CHAPTER 5: FINDINGS, ANALYSIS, AND INTERPRETATION 108

(1) Identifying with their roles	110
(2) Perceived multi-tasking	116
(3) Perceived complexity of their roles	120
(4) Perceived ambiguities and challenges	123
(5) Defining 'strategy' and 'strategic decision'	128
(6) The unspoken values and beliefs of the nation	132
(7) Administrative challenges	134
(8) Who do they perceive as a leader among their possible successors?	137
(9) Being elected as leader	140
(10) Perceived competences and skills needed to do their job as leaders	142
(11) Learning and development needs	146
(12) Perceived nepotism	148
(13) Perceived corruption	150
Perceived political interferences and politicisation of the AU3	153
(14) Perceived political interferences	153
(15) Perceived politicisation	154
(16) Perceived colonial heritage	158
Conclusion	162

CHAPTER 6: DISCUSSION AND CONCLUSION 165

Q1: In what ways do leaders working at the apex of the AU3 see their roles as strategic?	165
Q2: In what ways do the leaders interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?	170
The way decision making happens	170
The way the context shapes decisions	171
The ways colonial heritage and culture impact on the context and decision making	172
Q3: What is their own understanding of the contributions they make to developing and improving the university?	175
Conceptual framework	176
Limitations of this study	178
Methodological limitations	178
Generalisation (external validity)	179
Internal validity	180
Time and resources	181
Implications for policy makers and professional practice	181
Further research	184
Emollient leaders	185
Hypochondriac leaders	185
Mirroring leaders	186
Conclusion	186

CHAPTER 7: REFLECTION **188**

REFERENCES **192**

APPENDICES **218**

APPENDIX 1:	Letter to participants	218
APPENDIX 2:	Letter of access to AU3	229
APPENDIX 3:	Consent form	231
APPENDIX 4:	Semi-structured interview schedule (3 rd Year EdD)	234
APPENDIX 5:	Example of transcript in French	242
APPENDIX 6:	Anonymity of interviewees	261
APPENDIX 7:	Analysing data using NVIVO Software	267

APPENDIX 8:	OU's ethical clearance	273
APPENDIX 9:	Letter from the Rector /Reply to Access	274

LIST OF TABLES AND FIGURES

Tables

2.1	AU3 student numbers, 1970 to 2011	29
2.2	AU3 staff by designation	30
4.1	Comparison of positivism and phenomenology research philosophy	68
4.2	Insider/outsider advantages and drawbacks in my research process	85
4.3	Example of coding line-by-line without losing meaning in translation	96
4.4	Example of creation of category from behaviour Indicators	97
4.5	Raising categories to concepts	98
4.6	Perspectives on validity, reliability, and generalisability	101
4.7	Case study tactics for validity and reliability	102
5.1	Key themes	108
5.2	Theme: Identifying with their roles	110
5.3	Theme: Perceived multi-tasking	116
5.4	Theme: Perceived complexity of their roles	121
5.5	Theme: Perceived ambiguities and challenges	124
5.6	Theme: Strategy and strategic decision	129
5.7	Theme: Unspoken values and beliefs	133
5.8	Theme: Administrative challenges	134
5.9	Theme: Who they perceive as leaders among their possible successors	137
5.10	Theme: Being elected as leader	140
5.11	Competences and skills needed as leaders	142
5.12	Theme: Learning and development	146
5.13	Theme: Perceived nepotism	148
5.14	Theme: Perceived corruption	150
5.15	Theme: Perceived political interferences	153
5.16	Theme: Politicisation	154

5.17	Theme: Perceived colonial heritage	158
5.18	Concepts demonstrating how strategic leaders contribute to their environment	162

Figures

2.1	Resources for education in Benin – public expenditure on education	25
3.1	Different schools of thought in conceptualising ‘strategy’	42
3.2	A model of strategic leadership	53
3.3	A conceptual framework: the transforming role of strategic leadership proposed by this study	60
4.1	Strategy research decisions	64
5.1	Major concepts created	109
6.1	The strategic leadership framework in the context of AU3: developing insights for adaptation	177

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Glossary

African Universities 1, 2, 3	AU1, AU2, AU3
The Association of African Universities	AAU
The African and Malagasy Council for Higher Education	CAMES
Centre Interfacultaire de Formation et de Recherche en Environnement	CFRED
Ecole Nationale d'Administration at de Magistrature	ENAM
Ecole Nationale d'Economie Appliquée et de Management	ENEAM
Ecole Normale Supérieure	ENS
Faculté de Droit et de Sciences Politiques	FADESP
Faculté de Sciences Economiques et de Gestion	FASEG
Higher Education	HE
Higher Education Institution	HEI
Institut Régional de Santé Publique	IRSP
Institut Universitaire de Technologies de Lokossa	IUT-Lokossa
International Bank for Reconstruction and Development	IBRD
International Monetary Fund	IMF

Ministère de l'Enseignement Supérieur et de la Recherche Scientifique	MESRS
The Open University	OU
Rentrées Académiques Sonnelles des Universités Nationales	RASU
Secretary General	SG
Strategic Leader	SL
Scottish University	SU
Université d'Abomey-Calavi (AU3)	UAC
Université Nationale du Benin	UNB
The United Nations	UN
The United Nations Educational Scientific and Cultural Organisation	UNESCO
Vice-Rector of Academic Affairs and Professional Insertion	VR AAIIP
Vice-Rector Chargé de la Recherche Universitaire	VR RU
The World Bank	WB

Abstract

This study explored the appropriateness of the concept of strategic leadership in the development and improvement of higher education in an African university called, for the purposes of this study, the AU3. It examined whether strategic leadership as it emerged in Western countries had any resonance and relevance for the AU3, and explored the ways in which strategic leaders (SLs) interpreted and gave meanings to their roles. The study adopted a phenomenological approach with a qualitative case study design. A purposive sample of 20 strategic leaders was selected. The data collection instrument was semi-structured interviews. The research findings suggested that to enact strategic leadership the individual in the role should: be able to provide clarification of what he/she does and be able to understand the context in which he/she operates. The study contended that: **strategic leadership** requires three characteristics: **elucidation** – the ability to identify with their roles and responsibilities and link these to the strategic goals and mission of AU3; **externalisation** – the ability to consolidate their role tasks, provide evidence, and evaluate job tasks; and **realisation** – the ability to understand the complexity of their roles. The study further argued that SLs develop a distinctive shape of values and beliefs which impacted on the decisions they made. The study concluded with three types of leader: the ‘**emollient leader**’, who is concerned with ‘hanging on in there’, making the situation calmer in the hope of averting confrontation; the ‘**hypochondriac leader**’, who assumes constantly that something is wrong with their approach in performing their role, who is distracted by the environment and its constituencies; and the ‘**mirroring leader**’, who cannot see beyond their technical expertise. This study aims to help policy makers and those in charge of SLs’ recruitment, selection, and development to better understand what competences are required to lead the university.

Chapter One

Introduction

To debate over Africa's position and role in the global system always involves a discussion of the history and future of the continent. To talk about the higher education in Africa without a reflection of its past and present condition is to argue from an apolitical stance. Similarly, to perceive a gleesome hope for higher education and a bright future for Africa without a complete assessment of the deleterious impact of global capitalist hegemony on the continent is romantic idealism. On the one hand, the continent's development initiatives were stifled due to colonial toxicity and policies of international institutions. On the other hand, the mediocrity of the first generation African leaders became a major factor in the underdevelopment of Africa's higher education system due to poor internal politics (Atuahene, 2011, p.337).

The quotation above presents the context in which this study seeks to investigate the nature and the characteristics of the roles played by leaders at the apex of the African University 3 (AU3 used as a pseudonym).

This chapter presents the background to the research and the conceptual approach taken and includes why the study was undertaken, its purpose, and the research questions. It also gives an overview of each chapter.

However, before tackling all the cited points I will explain why I am concerned with the contribution of strategic leadership in the development of higher education (HE) in the context of the AU3.

My background

Born, raised, and educated in the Republic of Benin, in west Africa, I was privileged to benefit from an excellent primary and secondary education. My university days were marred, however, by constant strikes for one reason or another either by us students, or our lecturers. On reflection, I have wondered why the then leaders of the university did not act to stop entire academic years being lost because of a failure to meet the minimum hours of academic work required for the years to be validated. Thus, my worries about the nature of higher education in Benin started at an early age. They were an initial trigger for my desire to better understand the leadership and management of higher education and lie behind this research.

My moving abroad demanded a new educational experience and qualifications. I chose to read an MBA, then an MSc in Human Resource Management, at the Open University (OU) in the UK. Within less than six years of coming to the UK, I became a manager, then Director of Operations with the Midland Refugees Council in Birmingham in the UK in charge of the coordination of six departments providing, health, education, training, counselling services, employment opportunities, and housing for refugees. I became addicted to the OU concept of learning and teaching and went on to study for a further two OU master's degrees: an MSc in International Finance and an MSc in Business and Management Research. Since February 2006 I have been a full-time lecturer at the University of Edinburgh.

Working in the School of Education on MSc programmes that are management-related meant I could exploit both areas of knowledge. I opted for an EdD, a professional doctorate in education, with the OU because its structure allowed me to combine my experience of being a manager and an educator to reflect on the HE leadership in the AU3. It is a privilege to investigate a subject that has been latent over many years.

Why research the concept of strategic leadership in the AU3?

Globalisation, changes in funding mechanisms, the marketisation of HE (Barr, 2008), past colonial heritage, interference from international and regional institutions seeking better accountability, effectiveness and efficiency have all led to a reflection on ways of helping African universities to develop. This research is set against the following developments:

- a call from the Association of African Universities (AAU) and the African and Malagasy Council for Higher Education (CAMES) for strong commitment from leaders in HE in Sub-Saharan African countries in facing the challenges of the twenty-first century (The University World News, 2008);
- the announcement at the 2009 UNESCO World Conference on Higher Education of the creation of an institute to train leaders from across Africa in governance and management (UNESCO, 2009);
- a recognition of a 'growing premium on leadership and management capacities' (World Bank (WB), 2009).

The above reports emphasise the potential significance of the role of leadership in the transformation of African universities and suggest a need for new forms of leadership to foster the development and longer term success of these universities (Akam and Ducasse, 2002; Middlehurst, 2008; Charlier et al., 2009).

The complexity and turbulence in both the macro-environment and micro-environment influence the need for a new and revolutionary paradigm at the apex of the universities, for the most influential stakeholders in the AU3: the strategic leaders (SLs). Strategic leadership is proposed as the new, holistic, macro leadership or 'institutional leadership' (Middlehurst, 1993), which promises to accomplish this transformation and more. It is, therefore, important to understand the nature and essence of strategic leadership and the potential role it might play in the development of the AU3.

Theorists such as Hambrick and Mason (1984), Boal and Hooijberg (2001), Davies (2004) and Goodall (2009) suggest that the effectiveness and success of strategic leadership hinges on members' performance, cognitive abilities, personal values, wisdom, absorptive capacity, adaptive capacity and expertise. Strategic leadership requires not only a deep understanding of the context, organisational environments, processes and systems, but also individual interpersonal and interactional social skills.

Arguably, preclusion and denial to present the systemic issues at the apex of the AU3 might create dysfunctional results and difficulties in the institution. This aligns with the idea 'that if one wants to understand why organisations do what they do, one must consider 'the biases and dispositions of their most powerful actors', that is SLs (Hambrick, 2007, p.334).

Purpose of the study

Given the need for greater accountability, effectiveness, efficiency, and transparency at the top (World Bank, 2009), the purpose of this research is to explore the inner workings of SLs and their ability to contribute to the development of the AU3 and this in relation to their own interpretations and meanings.

Ultimately the study seeks to provide a better understanding of the concept of strategic leadership in the AU3, and the processes that the strategic leaders adopt in dealing with the challenges associated with their roles and responsibilities, decision making, dealing with change, and dealing with stakeholders. This involves studying also the contexts in which strategic leadership operates: the past colonial legacies and their impacts on the functioning of strategic leadership.

This study also aims to help to bridge the gap between knowledge and practice in strategic leadership literature. I argue that this will contribute to the literature on HE in Benin, and in particular on its leadership and management.

Through individual interviews, and joint interviews, the case study was performed on the Rector's Council consisting of six members, of whom four are elected, two are government appointees (MESRS, 2009, p.2) and 15 are lay members. The research questions guiding this study are set out below.

Research questions

The core research question of this study is: *What are the nature and characteristics of strategic leadership in contributing to and developing the AU3?* This helps to explore whether the concept of strategic leadership has any resonance and relevance within the AU3 in Benin, and to examine the ways in which the leaders there interpret and give meaning to their roles.

This question breaks down into three sub-questions:

- in what ways do leaders working at the apex of the AU3 see their roles as strategic?
- in what ways do they interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?
- what are their own understandings of the contributions they make to developing and improving the university?

Conceptual approach

This research is a case study grounded in a phenomenological epistemology. This epistemology is ingrained in the principles that:

- invite us to ‘set aside all our previous habits of thought, see through and break down the mental barriers which these habits have set along the horizons of our thinking...to learn to see what stand before our eyes’ (Husserl, 1931, p.43);

- there should be a ‘quite single-minded effort to identify, understand, describe and maintain the subjective experiences of respondents’ (Crotty, 2009, p.83);
- are committed to descriptions of experiences through first-person accounts in informal and formal conversations and interviews (Crotty, 2009); and
- are embedded in questions that give a direction, focus, and meaning to themes that sustain an inquiry (Blaikie, 2010).

Overview of each chapter

Chapter Two introduces the three interconnected contexts for the study: those of higher education in Africa, Benin, and the AU3. It examines how critical factors in the external and internal environments have shaped the higher education context in Africa in general, and introduces the particularities of the country and its higher education sector.

Chapter Three critically reviews the phenomenon of strategic leadership in the context of Francophone Africa with particular attention to the AU3. In doing so, I conceptualise two operative words: ‘strategy’ and ‘leadership’. The concept of strategic leadership is then explored as this provides the conceptual framework that guides the rest of the study.

Chapter Four presents the methodology and methods used in the research. I argue that a phenomenological/interpretivist epistemology is best suited to the investigation of strategic leadership in the context of the AU3. I derive from this an inductive qualitative study. The research design is a case study grounded in a phenomenological approach. The research data collection instrument is semi-structured interviews. It uses grounded

theory as a data analysis tool. Issues of validity, reliability, transferability, ethics, and the concept of insider/outsider are discussed.

Chapter Five presents the data analysis using the ‘concept-indicator’ building framework to generate concepts deriving from evidence examples in the data. It helps to see the links between the key themes, behavioural indicators; the concepts created and evidence examples from the participants. The aim is to gradually develop concepts (e.g. *elucidation, externalisation, realisation, cultural patterning*) that help to create the theory or proposition (e.g. *cultural patterning and negative lineaments can lead to being a ‘mirroring leader’*). I particularly draw attention to this chapter because ‘concepts are abstractions of reality and the building blocks of theory’ (Burns and Burns, 2008, p.72). Grounded theory was used as an analytical tool (Glaser, 1978). The behaviour indicators which emerged as a concern or problem for participants were framed by use of the gerund, which is a noun formed from a verb denoting an action or a state, for example ‘I am the Rep. 4’, becomes ‘being the Rep. 4’.

Chapter Six considers the main implications of this study in terms of its contributions to knowledge and policy, and ponders on implications for professional practice. This chapter also reflects on the limitations of the study and the possibilities for further research.

Chapter Seven is a personal reflection on my experience; I re-examine my journey in undertaking this Doctorate in Education and evaluate this thesis in light of my current expertise. This reflection is undertaken by using the framework proposed by Boud et al. (1985), which consists of three stages: (1) returning to experience; (2) attending to feelings; and (3) re-evaluating experience.

Chapter Two

The contextual background of the study

This chapter introduces the three inter-connected contexts for the study: those of HE in Africa; the country, Benin, and the African University 3 (AU3), the latter being the purposive case (Bryman, 2008) selected for the study. First, I will examine the context of HE in Africa. Second, I will present the country profile in terms of its geography, politics, economy, and education provision and consider the implications for the current study. Third, I will review briefly the challenges faced by the AU3 in the light of increasing student numbers, the lack of key human resources, inadequate and/or inappropriate infrastructure, a lack of teaching equipment, and poor administrative and governance functions, all of which combine to endanger the AU3.

The context of higher education in Africa

This study examines the nature and the characteristics of strategic leadership in the university. It is important to understand the contexts in which leaders operate and how these contexts might shape the concept and practice of strategic leadership. First, I start by defining the concept of ‘context’; second, appropriate literature is used to explore these contexts, and finally, the contexts at play in the study are analysed.

In exploring the gaps between leadership theory and practice, Middlehurst (2008) argues that the most important point about leadership research is that it is clearly associated with its contexts. She further suggests that leadership and research on it are both culturally, disciplinarily, and institutionally rooted in the Anglo-Saxon male’s

perceptions of his position. This is important for this study; the sample is biased towards male leaders. Other studies could examine why only males dominate institutional positions in the context of the AU3, but this is beyond the scope of this study.

Furthermore, she concludes that there are five contextual factors that affect research on leadership: institutional history and legal frameworks, together with the power, personality, and influences of top level institutional leaders. In exploring the context of HE in Africa, I will try to understand how the contexts cited above by Middlehurst have deleterious effects on the HE system.

Similarly, Osborn et al. (2002) contend that leadership and its effectiveness, in large part, are dependent upon context: 'Change the context and leadership changes' (p.797). They believe that 'leadership is embedded in context, and it is socially constructed in and from a context where patterns over time must be considered and where history matters' (p.798). It is indeed because patterns and history matter that I commenced by presenting the contexts and the history of African HE, citing Atuahene (2011, p.1).

Hannah et al. (2009) create a framework for examining leadership in extreme contexts. They suggest a five component typology, comprising the magnitude of consequences, form of threat, probability of consequences, location in time, and physical or psychological–social proximity. They further define extreme context as:

an environment where one or more extreme events are occurring or are likely to occur that may exceed the organisational capacity to prevent and result in an extensive and intolerable magnitude of physical, psychological or material consequences to, or in close physical or psycho-social proximity to organisation members (Hannah, et al., 2009, p.898).

This literature is important, because it reflects the nature of:

- the magnitude of consequence from colonial and post-colonial experiences faced by Higher Education Institutions (HEIs) in Africa;
- the threat that HEIs in the African continent face if they do not align their policies with those of former colonial powers;
- the probability of seeing their funding cut if they do not follow international organisations' guidelines; and, more importantly,
- the psychological impact of being a leader working in these contexts.

The contexts in this study include the history of the creation of universities in Africa and in particular the social–historical context, which includes colonisation and its impacts; and the neo-colonisation at work currently, together with the cultural, institutional, individual, and power factors.

The creation of universities in Africa and their importance

According to the International Bank for Reconstruction and Development (IBRD) and The World Bank (WB) (1997), universities should play a more important role in the national development of African countries than in any other region of the world. These international organisations claim that universities are the only institutions capable of enhancing national leadership and increasing management capacities. Others (e.g. Mazrui, 1975; Assié -Lumumba, 2006) argue that the history of the creation of universities in Africa is significantly different from the equivalent development of European universities and this is explained by the nature of past colonial experiences

and influences. Sawyerr (2004) suggests that university education in Africa is essentially a post-colonial phenomenon, where HE systems were introduced in many African countries to train managers destined to lead the newly independent countries (WB, 2008).

Universities in Africa can therefore be seen collectively as a 'national development project' brought about by the need to train national elites to assume the key responsibilities given up by the colonial powers after independence was achieved in the 1960s. Assié-Lumumba (2006) in a review of African HE claims that the process of setting up universities in Africa varied according to the extent of the colonial power that applied in a specific region. She argues that each colonial power had established a model of HEIs to mirror the models that had been established in its homeland (e.g. the colonial power nations). For example, she claims that the Francophone traditions and experiences are different from the Anglophone, Spanish, Portuguese, Belgian, or Italian ones. What is more, the Francophone HE system includes a wider range of other institutions such as: Institut, Institut Supérieure, Institut Supérieure Technique, Institut Nationale, Institut Politechnique, Ecole, and Ecole Nationale Supérieure. This model exists in most French-speaking countries within Sub-Saharan Africa including the Republic of Benin.

There are two implications that can be derived from these structures and labels. First, this leads to a two-tier HE system where the elite go to the Grandes Ecoles, e.g. institutes and Ecoles, and the others go to classical faculties that are more crowded and have fewer resources. Second, these inherited structures also create a culture of dependency which makes these institutions partly dependent on the colonial powers for resources and curriculum.

The issue of dependency and education is well-developed by Assié-Lumumba (2006, p.51) who states that:

Dependency is both an external factor and a conditioning situation. As an external factor, it manifests itself in various forms: transnational operations, economic aid and assistance, cooperation, ideology, culture, scholarship, values imbedded in the educational content; as a conditioning situation, it is perpetuated in domestic policies of developing countries where it fosters classes and sustains conflicting class interests in which the local elites usually constitute the natural allies of the external forces.

The extent of this collaboration between the ‘local elites’ and the ‘external forces’ appears, in part, to explain the continuing difficulties faced by HE in Africa, as pointed out by Mazrui (1975), who compares African universities to subsidiaries of multinational corporations, in that they function as extensions of European metropolitan institutions where decisions are transferred to and reproduced in African countries. One example here is the introduction of the Bologna process (of harmonisation of the education system in Europe) signed in 1999 by 29 European countries. This introduced the system of Bachelor–Master–Doctorate (the Licence-Mastère-Doctorat or LMD system in French) into HE in Africa, without its implementation and implications for developing countries being thought through:

It is our position... (to) ‘regret’ that African countries which have their higher education systems intrinsically linked to that of European countries, were not sufficiently informed of the Bologna project in

itenerere....see that they were not invited to its conception and its implementations. It was indeed clear to us that these changes will have a profound impact on the way the students from those countries will have access to their doctorate studies in the West (Charlier et al., 2009, p.10).

While this statement is made with reference to Africa as a whole, it also has particular resonance and relevance in the context of the AU3 in that the introduction of the Bologna process has strong resource, infrastructure and teaching implications that add to its existing challenges.

Factors affecting universities in Africa

Baldrige et al. (1977) and Baldrige (1983) have claimed that universities are characterised by a diversity of objectives and by goal ambiguity in terms of client service, task complexity, professionalism, and administrative values. These have a strong impact on the way universities are managed. The characteristics are present both in the West and in Sub-Saharan universities.

Goal ambiguity arises from universities targeting diverse constituencies both internally and externally with different objectives. For example, the goals could be high quality teaching, research, solutions to developmental issues, helping the community, or involvement in international cooperation with staff and student mobility; these will vary according to the needs of the university, college, or school.

In terms of client service Baldrige et al. contend that universities are people-processing institutions. Hence this demands some inputs from the students' perspective, that is from

students. In terms of task complexity, schools and colleges need to manage a complex portfolio covering teaching, research, consultancy and knowledge transfer, and administration. These tasks require a variety of skill sets and competences.

The authors claim that there exist conflicting subcultures of faculty and administrative staff, with administrative culture based on power and on the other hand professional authority based on knowledge. It is important to understand that these conflicting goals have an impact on the ways strategic leaders see their roles shaped by these ambiguities, values, clients' needs, and complexity of tasks in the context of the AU3.

In a different context, a changing environment for universities in the UK in the 1980s and 1990s brought about the introduction of a more business-like and commercial approach dominated by the requirements of competition on the one hand and public service on the other (Middlehurst et al., 1992), with a consequent increase in the power of administrators and managers and a reduction in the power of academics.

Davies (1987) had earlier observed that the entrepreneurial and adaptive university needs to be proactive and opportunistic in adjusting its activities and operations to take advantage of external developments. He argued that the university must exploit its strengths in order to achieve maximum political and financial gains in the marketplace, relying on initiative and risk-taking individuals and groups within different parts of the institutions.

These changes in Europe have had an impact on the way universities are run in Africa. More and more the key funders of these universities are adopting the European style of

management and leadership and approaches to performance management (for example, Assié-Lumumba, 2006). This means that the funders include in the criteria for funding issues on good governance, good management, and leadership expectations, and put more stress on accountability and evaluation, as well as transparency in the way the university's funds are managed.

More widely, external factors affecting universities around the world include (a) the restructuring of the economy, (b) the changing role of the state, (c) shifting demographics, (d) advances in new technologies and (e) increasing globalisation. The internal factors interacting with these external forces include: (a) reorganisation within the universities, (b) the issues of enhanced quality, programme review, and evaluation, (c) accountability on research and technology transfer, (d) the financial accounting and fundraising systems, (e) personnel restructuring and (f) transformed leadership, management, and governance (Sporn, 1999). This last point constitutes the focus of this study.

Most literature on the challenges, crises, and transformations of African universities also refers to these same global challenges, to an even greater degree:

Education in Africa is confronted with diverse problems: the mimetic western consumerism, low rate of primary education, inadequate education policies, politico-economic crises, lack of education infrastructure, plethoric student numbers, lack of research, without mentioning the pressure from the North (Akam and Ducasse 2002, p.270).

Internationalisation, globalisation, regionalisation, equity, access and quality, learning, research, and innovation are recurrent themes in the literature of the Association of African Universities (AAU) and the African and Malagasy Council for Higher Education (CAMES) (The University World News, 2008). The AU3, as I argue later on in this chapter, faces the same challenges as other African universities (Poncelet, 2002).

The International Bank for Reconstruction and Development and World Bank (1997) contend that ‘the primary cause of these challenges is declining resources during a period of growing enrolments ... without a capacity to keep the two in balance’ (p.3). What is more, others factors play their part in this ‘complex muddle’: ‘poor national economic performance, inappropriate governing structures, feeble national policies, political interference in many aspects of the university endeavour, weak internal university management and campus instability’ (The International Bank for Reconstruction and Development and World Bank, 1997, p.3). From the literature cited, the issues are well known to the international institutions (e.g. funders, donors, and academics) but corrective actions have been slow to develop, due to political sensitivities, financial limitations, or ineffectual management.

The influence of leadership varies according to the context. Cohen et al. (1972) found that there are conditions prevailing at universities which led them to describe these organisations as ‘organised anarchies’ because they claim that:

- individuals and subunits do not have clear goals;

- no individual has much power and the distribution of power is not determined by sanctions, interdependence, or contribution, but fluctuates with the context in which decisions are made;
- consequently, the distribution of power over time is not constant;
- nor is the distribution of power over issues constant;
- choices are often avoided, deferred, made by oversight, or, if made, never implemented.

This study has been designed to explore the extent to which effective strategic leadership can be established and maintained in the context described above, a task made more difficult by the fact that leadership assumes a unitary view of the organisation which includes attention to common goals in a way that seems contrary to what Cohen et al. (1972) asserted.

African leadership and its cultural and colonial heritage

There is a body of literature (e.g. Bolden & Kirk, 2009, Nkomo, 2011) arguing for a single type of leadership that can fit every country in the continent, i.e. African leadership. However, if one considers the epistemological and methodological challenges to the argument of a universal African leadership, it is virtually impossible to claim such universalism across the continent because of the variations in national culture and contextual factors. My aim is to focus on how strategic leadership is enacted in the context of the AU3 in the Republic of Benin.

The writings on HE in Africa seem to labour extensively on the crises, reforms, and transformation needed (e.g. Akam and Ducasse, 2002; Assié-Lumumba, 2006; Charlier et al., 2009), presenting these as if no interventions from within (i.e. individual leadership actions) are to be taken into account when reviewing these challenges. I would particularly want to argue that the monograph of Assié-Lumumba (2006) is the most influential work on issues faced by HEIs in Africa in the last five decades. This monograph explores explicitly the origins and missions of HEIs in Africa, the cultural colonisation that followed, the reasons behind it, and the reforms that possibly need to take place to face new global challenges. However, this work does not take into account the key subject matter of leadership and its corollaries in these institutions. It seems rather to lay all the blame at the doors of former colonial powers and international donor institutions. For example:

the managerial, technocrat, top-down approach and ... the World Bank's macroeconomic policies, whereby a group of experts design what is assumed to be needed for African societies (Assié-Lumumba, 2006, pp.116–117).

However, regional institutions, the AAU and CAMES (November, 2008) call for a strong commitment from leaders in HE in Sub-Saharan African countries in facing the challenges of the twenty-first century. In examining again the work done within the AAU, they seem to have covered some ground, but there is a lot still at stake. In particular there seem to be workshops and seminars organised for the Principals and Vice-Principals of the university members of the association both in English and French. But it seems that this work may not allow for the changes in behaviour patterns

necessary for advancing the performance of HEIs in Africa and thus begs the question of what type of leadership is needed for African universities; and in particular for the AU3.

Cultural and colonial heritage

The cultural heritage of African countries is complex in that this heritage seems to be shaped by both endogenous (indigenous culture) and exogenous (colonisation and post-colonisation, and neo-colonisation) factors. I posit the importance of exogenous factors, as these transcend and shape even the endogenous ones. The exogenous factors are characterised by two important elements: cultural and educational.

First, Francophone Africa in which the present study is carried out was colonised by France (or Francophone Belgium), and this French influence persists to the present day, in particular in terms of culture and education. This is exemplified in the citation below in which Ager contends that the French have managed to keep a system of relationships to maintain their supremacy on their ex-colonies.

France's aim was to maintain privileged relations with its former colonies, amongst other means by ensuring that the French language was used, that education was provided in and through French and that cultural activities through the medium of French were available (Ager, 2005, p.58).

This appears to have had lasting effects on the educated elite, who may not see or understand how to make sense of the indigenous cultures.

Second, Joseph stresses the importance of France's role in education:

... entire university and secondary school systems were supplied, from physical plant to details of curricula, examination systems, teaching materials and personnel regulation. ... French educational models have become more entrenched during the expansion of African educational systems since independence (Joseph, 1976, p.10).

These entrenched structures in the shape of language and the educational system may have alienated the educated African elite. Indeed, such statements are often polemical, though there is a body of extant literature that seems to claim that language shapes thought in profound and pervasive ways. The Sapir/Whorf hypothesis 'suggests that thought is determined not merely shaped or influenced, but controlled in inescapable ways by language structure' (Wetherell et al., 2005, p.5).

This may present 'clashes of culture' as the leaders of institutions in countries which have been subject to these processes might find it difficult to express their own perception of and approach to leadership, having continuously been exposed to the culture of neo-colonialism. In this context, one wonders which type of leadership actions are needed to use culture as a resource upon which to build new organisational and individual capabilities. I argue here that the weakness in the performance of these leaders could be explained by Putnam's concept of 'civic culture'. Putnam (1993) explains north-south differences in the institutional performance of similar regional governments in Italy by contending that 'active spirited citizenry' of the north, marked by 'egalitarian political relations' and by 'a social fabric of trust and cooperation' lies at the root of the north's superior institutional capacity. In generalising the Italian case, he suggests that a nation's level of 'civic culture' is the main determinant of its institutional

performance. He further posits that social capital is the resource by which the civic culture contributes to political and economic development.

This concept of civic culture is further explained and examined by Englebert, who stresses elements such as trust, participation and associative life and equality as the main ingredients to build confidence in leaders. He asserts that:

Civic culture is a compound of trust, norms of reciprocity, participation and equality, and of associative life. According to this theory, Africa's stagnation, poor governance and weak state capacity derive from a low level of civic culture and social capital: vertical patron–client relations prevent effective political participation (leading to the politicisation of the university) and equality; the weight of tradition stifles the emergence of associate life and strong ethnic identities prevent the spread of trust in society (Englebert, 2000, p.9).

To further explain this, I draw on theorists such as Boone (1994), van de Walle (1994) and Lewis (1996), who contend that Africa's decline or stagnation is due to the fact that African leaders, having inherited artificial policies from colonialism, resort to neo-patrimonial strategies to foster their power and prevent the dislocation of their peasant societies. These neo-patrimonial policies, essentially redistributive in nature, use the resources of the state to pursue their political and personal ambitions of power maximisation (leading to nepotism and favouritism). It is indeed in these contexts that African leaders maintain their power.

To summarise, this section has identified the following contextual influences at the level of the continent:

- the history of colonisation;
- the experience faced by the continent's HEIs in the post-colonial period;
- the way in which both these forces shape strategic leaders and their work.

The country context: the Republic of Benin

Formerly known as the Republic of Dahomey (1958–1975), the Republic of Benin was a colony of France for almost 70 years. Benin is situated in West Africa and is bounded by Niger and Burkina-Faso to the North, by Nigeria to the East, and by Togo in the West. Its surface area is 112,622 square kilometres and it has an estimated population of: 8,935, 000 (UN, 2009), with a population density of 79.3. The UN (2009) estimated that the average annual population growth rate between 2010 and 2015 was 2.9 per cent, with the urban growth rate in the same period estimated at 4.0 per cent and that of the rural population at 2.1 per cent. These figures suggest that there is a rapid development of the urban population with its associated crowded classrooms, public health issues, pollution, crime, and lack of adequate housing.

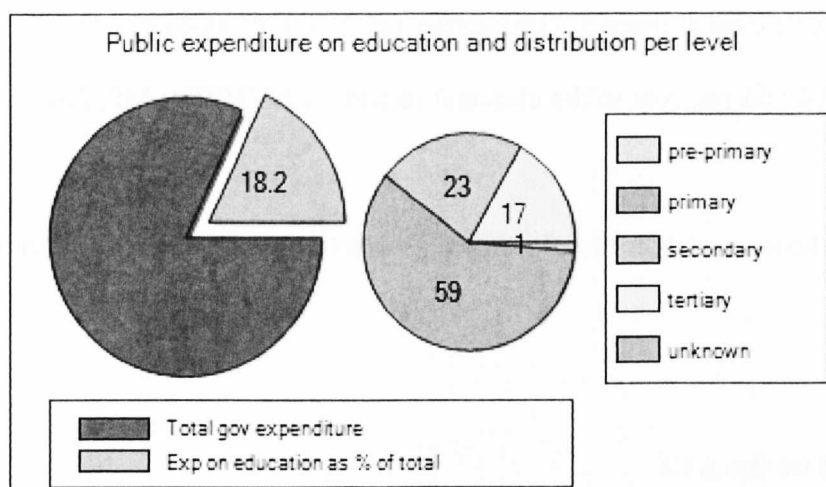
Porto-Novo is the constitutional capital, but Cotonou is the economic capital of the country and the seat of government.

The history of Benin from independence in 1960 until 1972 was marred by military putsches. In recent years, however, the country has become one of the rare stable democracies in West Africa and the National Conference of February 1990 proclaimed the 'creation of the democratic State and the values and respect of human rights' (The Constitution, 1990). This growth of democracy is seen as an example of how African

countries could move from dictatorship to peaceful democracy in the 1990s. If the political environment is tense from time to time, the country's political elite has managed so far to put the interest of the nation at the forefront of its political ambitions.

Economically, Gross Domestic Product was US\$ 6,602m in 2009 (UN, 2009), which was good compared to others countries in the region (except those with oil resources). Nevertheless, the country is faced with numerous challenges, as are most of its developing neighbouring countries, albeit with variations in their lack of appropriate or adequate transport infrastructures and their economies based on agriculture and informal trade, which bring insufficient revenues to the State. The International Monetary Fund (IMF) estimated that 'the economic growth in 2012 will be moderate, despite an expected improvement in port activities, dragged down by the global economic slowdown and by an increase in the price of imported gasoline from Nigeria' (IMF, 2012, p.1).

Article 13 of the Constitution states that: 'the State provides education for the young by creating State schools, and primary school is obligatory' (The Constitution, 1990, p.4). This appears to make education a national priority but there is still a long road ahead. According to the UN (2009) the Government's expenditure on education between 2005 and 2010 was 3.5 per cent of GDP. Gross enrolment in primary and secondary education over the same period was 60.2 per cent for girls and 81.8 per cent for boys. Female students in tertiary education accounted for 19.85 per cent of the total intake (UNESCO, 2011). Figure 2.1 gives a breakdown of government expenditure on education.



Source UNESCO Institute for Statistics (2011) p.102

Figure 2.1: Resources for education in Benin: public expenditure on education

Figure 2.1 suggests that both government and donor policies in terms of educational budget are mainly focused on primary (59 per cent) and secondary (23 per cent) schools. The tertiary sector (including universities and polytechnics) attracts just 17 per cent of public expenditure. The number of primary school pupils is growing, even taking into account the drop-out rate estimated at 30 per cent, and both secondary and tertiary sectors will see their numbers increase substantially in the future. A radical shift in policies and a better alignment of key human competences will be required to manage the increasing demand in the HE sector.

The university AU3

The AU3 is one of two public universities in Benin. It is a public entity, but it claims administrative and academic autonomy. The official language is French and the HE system mirrors that of France. The AU3 comprises four classical faculties (economics, geography, sociology, and languages) and eleven professional faculties (schools and

institutes that educate civil servants). The success rate in the professional faculties is 80.7 per cent, and 42.64 per cent in the classical faculties (AU3/VRAAIP, 2011).

The evolution of the university is closely linked to that of the political evolution of the country.

Challenges faced by the AU3

The roles and responsibilities of the rectorial team

The ministerial decree MESRS (2009) outlines the roles and responsibilities of each member of the rectorial team. Collectively, the rectorial team

... is the executive body of AU3, it consists of the Rector, and three Vice-Rectors, a Secretary, and the Chief Accountant. They are in charge of the administration, the academic, pedagogic, and the financial management of AU3, in line with the national education policy. They promote and develop the activities related to education, teaching, research, and the university's growth. They are responsible for the human resource, the infrastructure, the equipment, the ICT, and the diversification of source of finance of AU3, and are responsible for quality assurance (MESRS, 2009, p.2).

MESRS (2009) states clearly the functions and responsibilities, which are likened to what strategic leaders would be expected to do in such an environment. The functions of the Rector and three Vice-Rectors (all four elected by an electorate constituency), the secretary general, and the chief accountant (two positions appointed by the government)

are presented. This decree also details the judicial environment and cadre for the running of the university. It acknowledges that though elected, the Rector is also appointed by the Head of State by decree, as the university is a public service with most of its staff being on the government payroll. This brings to the surface the conflict that could arise between the university being a public organisation and an autonomous entity. Current leaders acknowledge that

AU3 should develop a good partnership with the government, the only stakeholder capable of providing the resources to solve the many problems faced by AU3 (Integrated Programme of Activities of AU3, 2008, p.2).

Administration and governance

The ministerial decree (MEN, 1970) concerning the creation of the AU3 granted the university autonomy of governance. The decree has not been put into practice, however, and the academic authorities continue to be nominated by the government. This partial autonomy means that:

- the rectorial team and senior managers of the university are nominated by the Ministry of Education;
- the university is largely dependent on the state for resources and grants;
- control is in effect exercised by the state, arguably to the detriment of the exercise of power within the university itself; and
- academics and university staff are all civil servants, and therefore their remuneration and promotions depend on the Ministry of Work (Ministère de

l'Enseignement Supérieur et de la Recherche Scientifique (MESRS), 2003), contributing to further deterioration in the quality and competence of the teaching and researchers, as the criteria of the Ministry of Work may not be those of the university sector.

The inability of the university to control its teaching and research staff makes matters worst, because of their nomination to political and administrative posts by governments (MESRS, 2003, p.43.)

The Rector and Secretary General's Integrated Programme of Activities for the AU3 (2008) and MESRS (2009) express the university's need to operate in a judicial environment that enables it to meet its legal status, ensuring that public funds are accounted for and that due process is followed diligently when commissioning or tendering for infrastructure works. But the top team is faced with challenges including dealing with external stakeholders' demands and constraints, lack of infrastructure and equipment, resource mobilisation and allocation, and massification of HE (growing numbers of students with inadequate infrastructure). In addition to these constraints:

The administration management is fraught, and lack adequate autonomy ... in reality the university's authorities never had the real power to govern AU3, because of the control exerted by the hierarchy that is the MESRS. (Strategic Plan of Development of Higher Education, 2002–2007, p.3).

These factors render the execution of the top team's duties and responsibilities complex, ambiguous, and challenging. This demands the development of higher skills and abilities

(Boal and Hooijberg, 2001; and Davies, 2004): absorptive capacity, adaptive capacity, and wisdom.

Enrolment

The university has seen a rapid increase in student intake as depicted in Table 2.1 below as well as in Table 2.2.

Academic year	Number of students
1970	350
1999–2000	18,753
2000–2001	23,033
2001–2002	26,172
2002–2003	30,107
2003–2004	30,267
2004–2005	30,811
2005–2006	36,738
2006–2007	42,789
2007–2008	41,879
2008–2009	54,090
2009–2010	70,000
2010–2011	74,492
<i>Source: AU3/Vice-Rector in charge of Academic Affairs and Professional Insertion (VRAAIP) (2011)</i>	

Table 2.1: AU3 student numbers, 1970 to 2011

The current estimated capacity of teaching rooms is 22,500 students. At the most recent count, there were 74,492 students of which 9,768 were in professional faculties and 64,724 in classical faculties (AU3/VRAAIP, 2011).

This increase in student numbers has not been followed by appropriate and adequate policies on resource allocation, on infrastructure, the provision of new equipment and/or the maintenance of existing equipment. The result is poor teaching rooms and working conditions for both academics and students. The effects of these overcrowded conditions are not limited to the impact on academic performance. This context demands a new way of looking at these challenges; and the nature and the characteristics of the leaders described above might be important in tackling the issues; in particular when leaders exhibit exultation.

Academic and teaching staff

As of February 2011, the AU3 employed a total of 1,103 academics and teaching staff. A breakdown of staff by designation is shown in Table 2.2.

Titles	Numbers
Full Professorship	71
Readership	115
Senior lectureship	248
Lectureship	256
Teaching fellowship	297
Assistant teaching fellowship	116 (and 324 associate lecturers on the university's payroll, but not on the State's budget)
<div>Source: AU3/VRAAIP, 2011</div>	

Table 2.2: AU3 staff by designation

Tables 2.1 and 2.2 suggest that the ratio of students to staff is very high (around 74:1), and there seems to be a chronic shortage of staff with critical teaching and research competences in key faculties. For example, figures obtained for the academic year 2007–2008 (VRAAIP, 2011) suggest that there were no fully qualified professors in the following professional faculties: Ecole Nationale d'Administration et de Magistrature (ENAM), Institut Régional de Santé Publique (IRSP), Institut Universitaire de Technologies de Lokossa (IUT-Lokossa), and Ecole Normale Supérieure (ENS). This may be construed as a lack of professorial leadership in those settings, which has significant consequences, for instance in terms of research leadership and outputs.

Another important challenge is that of the secondment of academic staff to administrative roles in different government and ministerial departments which deprives the AU3 of vital and much needed human capital. These factors, coupled with a projected increase in staff retirement, make it challenging to recruit and train appropriate new staff and plan for succession. My assessment of these appointments to top positions in government and government bodies is that they have detrimental effects on research and teaching as these appointees are not often replaced.

In summary, the key issues faced by the AU3 relate to its ability to become a well-known university in the region and in the world that can play an important role in the development of the country by educating the future workforce.

In the current worldwide economic crisis, and in the face of international donors demanding more accountability and transparency in the governance of HEIs, it is difficult to see how the AU3 can survive if it does not effectively address these. It is in this context that the current study will investigate the nature and characteristics of the

AU3's leaders and the ways in which they contribute to the development of the university. I will now turn to a review of relevant literature to argue that the concept of strategic leadership has relevance and resonance in this.

Chapter Three

ANALYSIS OF RELEVANT LITERATURE

Strategic leadership in higher education

This study is concerned with the nature and characteristics of strategic leadership in developing and contributing to the performance of the AU3. Research appears to suggest that strategic leadership matters, because the management of the organisation requires particular attention to be paid to the ways in which strategic leadership interprets, understands, and gives meaning to organisational purpose (Hunt, 1991; House and Aditya, 1997; Ireland and Hitt, 1999). This implies that ‘the shared meanings of strategic leadership provide a mutual orientation for organisational development in practice’ (Kjelin, 2009, p.37).

In updating the ‘upper echelons theory’ (Hambrick and Mason, 1984, p.193), Hambrick (2007) suggests that organisations reflect their leaders’ values and beliefs and that leaders’ personal values, including their past experiences, affect not only their decisions, but also their interpretation of situations. This is seen as the antecedent of strategic leadership theory, which has two interconnected parts: (a) that executives act on the basis of their personalised interpretations of the strategic situations they face and (b) that these personalised constructs are a function of the executives’ experiences, values, and personalities. It is a challenge to conceptualise strategic leadership without explaining the concepts of ‘strategy’ and ‘leadership’.

According to Leavy and McKiernan (2009), strategy and leadership are often treated as synonymous in practice and in theory. Along with the development of strategic management, the concept of leadership has also evolved to become fully integrated in

the management repertoire. Leavy and Mckiernan argue that person-focused leadership theories developed earlier are more suited for middle-management level, where the focus is on team dynamics and generic interpersonal skills (Boal and Hooijberg, 2001; House and Aditya, 1997).

At institutional level in the university sector, vice-chancellors, presidents and rectors must have the ability to inspire the hearts and minds of hundreds, even thousands, of followers yet have little opportunity for face-to-face interaction with most of them. 'The leadership at this level requires three characteristics: the right person for the context, the conviction of the leader and the dynamics of credibility over time and tenure' (Leavy and Mckiernan, 2009, pp.23–25). In the previous chapter, I focused on delineating the three interconnected contexts. In this chapter, I will examine the development of the concepts of leadership, strategy, and strategic leadership.

It should be noted that leadership theories originated in the United States of America (Hemphill and Coons, 1957) with Ohio State University studies and the Michigan University studies (Cartwright and Zander, 1960). In spite of this, leadership theory is to a great extent portrayed as universal; and theorists misconstrue the 'universal' as if there were no context-specific dimensions. Hartog et al. examined the 'emics' and 'etics' of culturally endorsed implicit leadership theories and stated that:

Almost all prevailing theories of leadership and most empirical evidence are North American in character, that is individualistic rather than collectivistic; emphasizing assumptions of rationality rather than ascetics, religion, or superstition; stated in terms of individual rather than group incentives; stressing follower responsibilities rather than

rights; assuming hedonistic rather than altruistic motivation and assuming centrality of work and democratic value orientation (Hartog et al., 2002, p.9).

Minnick (1990) argues that this sweeping generalisation or non-inclusive notion of the universal is a significant error in the production of knowledge. For Nkomo,

the error occurs when one group is studied but knowledge generated then represents the whole concept-leadership. The prefix 'American' is suppressed when we speak of leadership theory or management theory in management studies. In contrast, the 'Other' who speaks or writes about leadership must attach the prefix 'African' to any discussions of leadership and management (Nkomo, 2011, p.371).

This appears to happen partly because there is a paucity of literature concerning African leadership; for example in the period 2000–2009, *The Leadership Quarterly* (a US-based academic journal) reports no publications from Africa on research on leadership (Gardner et al., 2010); yet an extensive search reveals quite a few such works, albeit these are not related to HE (Ngambi 2004; Mbigi, 2005; Bolden and Kirk 2009; Nkomo, 2011).

Key theories, concepts, and ideas in conceptualising 'leadership'

In examining leadership, I have reviewed the evolution of its theories and practices from the 1940s to the present day. The main aim of this review is concerned with leadership at the apex of the organisation and not with what lower-level managers do or should do, as

they attempt to provide guidance, support, and feedback to subordinates, which was the focus of much of the early leadership research (Yukl, 1998).

There are different perspectives on the concept of leadership, but Bolden and Kirk (2009) propose four broad categories of theories, namely essentialist theories, relational theories, critical theories, and constructionist theories.

Essentialist theories

These writers posit that these theories are wedded in an objectivist perspective of leadership. The focus seems to be on the assumption of what ‘leaders’ do to ‘followers’. Under this subcategory are: trait (Bowden, 1926; Jenkins, 1947, Stogdill, 1948) and behavioural theories of leadership (Lewin et al., 1939; Stogdill and Coons, 1957; Blake and Mouton, 1964; Stogdill, 1974); and situational and contingency theories (Fiedler, 1967, Hersey and Blanchard, 1977). Bolden and Kirk (2009) conclude that these perspectives have dominated the research on leadership with the aim of isolating what constitutes an ‘effective leader’ and what they do that might help in, for instance, the selection, recruitment, appraisal, and development of leaders. There are many critics of these theories. Hernandez et al. (2011, p.1170), for example, argue that behavioural and trait theories of leadership primarily emphasised leaders as the locus of leadership (*‘the source from which leadership arises’*) and this seems to ignore any followers’ affection or influence. The current study is not placed in this stream.

Relational theories

According to Bolden and Kirk, relational theories are concerned with the relationship the leaders have with their followers rather than with the identification of a specific trait, style, or behaviour. These theories claimed the existence of a dyadic relationship of

leadership and followership. Yukl (2010) and Uhl-Bien (2006) define leadership as ‘a social influence perspective through which emergent coordination (i.e. evolving social order) and change (i.e. new values, attitudes, approaches, behaviours and ideologies) are constructed and produced’ (p.668). It is claimed that research on this perspective focuses on participative leadership, shared leadership, delegation, and empowerment and recognises the contribution of a wide range of actors as well as contextual and systemic factors in shaping leadership practice (Bolden et al., 2008, Yukl, 2010). This current study might help the understanding of the contextual and systemic factors shaping strategic leadership practice in the AU3. I will try to understand factors (values and behaviours) in the AU3 environment contributing or impeding its development.

Critical theories

These theories take the stance that explores the underlying dynamic of power and politics within organisations. French and Raven (1959) conceptualised and identified five common and important bases of power: referent,¹ expert,² legitimate,³ reward,⁴ and coercive.⁵ Each of these bases of power increases a leader’s capacity to influence the attitudes, values, or behaviours of others (cited in Northouse, 2010). The aim of research in this perspective appears to be based on how followers liberate themselves from the discourses of control and dependency and how alternative narratives can be achieved. Critics such as Fryer (2012) argue that attention should be focused on ‘facilitative leadership’. Fryer claims that ‘people who find themselves in leadership roles might lead in a less impositional manner’ (p.25).

¹ Referent power is based on followers’ identification with and liking for the leader.

² Based on followers’ perceptions of the leader’s competence.

³ Associated with having status or formal authority.

⁴ Derived from having the capacity to provide rewards to others.

⁵ Derived from having the capacity to penalise or punish others, adapted from ‘The Bases of Social Power’ (French and Raven, 1959).

Constructionist theories

Bolden and Kirk (2009) contend that this perspective draws attention to the way in which leadership is used to construct shared meanings that enable followers to make sense of their predicaments (Ospina and Sorenson, 2006). This perspective helps to understand leadership as a process of sense-making (Pye 2005). This study is located in this perspective and so aims to understand how strategic leaders in the context of the AU3 construct their roles and meaning to enable the institution to perform well to the satisfaction of its stakeholders.

While this conceptualisation of leadership theories offers an easy way to locate where to place the current study, it also poses numerous possible complications. In particular the framework suggests that there is a unitary view on how one defines concepts such as essentialist, relational, critical, and constructionist. For simplicity, I have chosen to adopt the definition of Northouse (2010).

Northouse suggests that four components are central to the concept of leadership: (a) leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals. He thus defines leadership '*as a process whereby an individual influences a group of individuals to achieve a common goal*' (p.3). This is important to my study, because to understand the nature and characteristics of strategic leadership, I need to understand the process by which they (SLs) make their decisions, how they influence both their contexts and followers, and how they align their roles and responsibilities to that of the AU3.

Before I finish this conceptualisation of leadership, I will briefly consider emerging theories on what has been called 'value-driven, uplifting leadership' (Hernandez et al.,

2011). This is important because, in examining the nature and characteristics of strategic leaders, it will help if I can understand the values and ethics that underlie the ways in which they make decisions and interact with the stakeholders around them.

Ethical leadership

This can be defined as the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of such conduct to followers through two-way communication, reinforcement, and decision making (Brown et al., 2005, p.120).

The emphasis here lies on the leader and how he or she provides ethical guidance to followers. In particular, for Northouse (2010) there seem to be five principles that govern ethical leadership: *respect, service, justice, honesty, and community*. The locus of leadership is therefore intrinsic to the leader. Northouse notes that there seems to be a dearth of research on leadership ethics, and this makes speculation about the nature of ethical leadership difficult. In addition, Northouse bemoans the lack of effective empirical studies to support what he claimed to be descriptive and anecdotal writings (p.394). In examining the nature and characteristics of strategic leaders in the AU3, I want to understand what these leaders do and who leaders are, in terms of the consequences of their actions and the duty or rules governing the leaders' actions.

Spiritual leadership (Fry, 2003; Reave, 2005)

This theory focuses on the leader's spirituality and his or her ability to fulfil the followers' spiritual needs. Hernandez et al. (2011) argue that spiritual leadership captures an effective mechanism of leadership through its emphasis on the importance of self-management and reflective practices. This type of leadership appears to be

symbolic, moral, ritual, and normative in nature. This theory seems to offer me the opportunity to explore how strategic leaders reflect on their practices in the AU3. Reflection is the re-examination and re-interpretation of experience (Boud et al., 1985) and may help leaders to learn more about themselves and their followers.

The authentic leader theory

This theory is based on the premise that knowing who one is, what one believes and values and then acting upon those beliefs and value (being authentic) positively influences follower work attitudes and behaviours (Hernandez et al., 2011). This theory is pertinent in examining how current leaders define their own values and believes as to how they manage the AU3.

These theories offer different ways of reinforcing previous theories such as the trait, the behavioural, and motivational theories. They may have their place in the literature, but they are beyond the scope of this study. There does not appear in any of these theories enough empirical data to ground them in a practical manner. For example, Northouse (2010) cautioned that at this stage of development of research on authentic leadership, the role of positive psychological capacities in authentic leadership theory needs further clarification.

This review of the key theories and concepts of 'leadership' is pertinent in that, while many characterise what leaders do and what traits, behaviour, and attitudes they need to have, it is important to understand what strategic leaders do, in particular when doing 'strategy'.

Conceptualising ‘strategy’

In conceptualising ‘strategy’ I could have traced its history throughout the ages (The Open University, 2006). I will offer instead a brief view of the different schools of thought which have profoundly affected developments in the field of strategic management.

Mintzberg et al. (2009) claim that there is no single definition of ‘strategy’, but they suggest that strategy can encompass one or all of the following:

- a plan, a direction, a guide, or a course of action into the future;
- a pattern that has consistency in behaviour over time;
- a position that locates a particular product in a particular market;
- a perspective that is an underlying business paradigm or philosophy; or
- a ploy to outperform a competitor.

This suggests various ways of conceptualising ‘strategy’.

Mintzberg et al. further suggest there are ten schools of strategy: the design (process of conception), the planning (formal process), the positioning (analytical process), the entrepreneurial (visionary process), the cognitive (mental process), the learning (emergent process), the power (negotiation process), the cultural (collective process), the environmental (reactive process) and the configuration (transformation process) schools. More recently another school has been added to this list: ‘strategy as practice’ (Johnson et al., 2007). The eleven schools of thought are summarised in Figure 3.1 below. This study uses the framework outlined in Figure 3:1 to explore the ways in which strategies

are formulated within the AU3. In general terms, this involves developing key questions around formal approaches to strategy (prescriptive), how strategy happens in practice with a particular emphasis on the environment within which the leaders are working (descriptive) and their interactions with various stakeholders to bring about change (configuration and strategy as practice).

Ways of Conceptualising Strategy

Prescriptive approaches: how strategy should be formulated

Design: process of conception

Planning: formal process

Positioning: analytical

Descriptive approaches: how strategy happens in practice

Entrepreneurial: how great leaders create vision

Cognitive: using cognitive psychology to understand the strategist's thoughts

Learning: where the world is seen as too complex to allow strategies to be developed all at once and looks at how the strategists adapt as circumstances change.

Power: considers strategy formation as a process of negotiations, raising issues of resistance and acceptance among diverse stakeholders both internally and externally.

Culture: emphasises the need for collectivity and cooperation in the organisation.

Environmental: this argues that strategy formation is a reactive process in which the initiative lies not inside the organisation, but in its external environment.

Configuration school

In this school, the strategy process requires an integration of various elements of the strategy-making process, content, the structure of the organisation and its context playing different roles in shaping the nature of strategy.

Strategy as practice

Johnson et al. (2007) conceive 'strategy as practice' as a 'concern with what people do in relation to strategy and how this is influenced by and influences their organisational and institutional context' (p.7). This stream of strategy is the extension of strategy as a language, but in particular deals with the micro level of strategy-making at an organisational level.

Source: Mintzberg et al., 2009

Figure 3:1: Different schools of thought in conceptualising 'strategy'

Andrews (1971) argues for the creation of a 'match' or 'fit' between the organisation and its environment as a prerequisite for its relative success. The essence of his work is rooted in earlier work which sees strategy as 'organisational fit' (Barnard, 1938; Chandler, 1962), where strategy is an integration of organisational functions. The role of leaders in this process is to understand the environment and the organisation to realise the match. This provides a useful basis for exploring questions about the organisational context and external environment in AU3.

The above section focused on the concepts of leadership and strategy and highlighted the key attributes of the two concepts.

The origins and definitions of ‘strategic leadership’

My aim is to trace the history of strategic leadership as opposed to leadership in the context of organisations, in particular in HEIs. I will argue that leadership in the organisation is different from strategic leadership, which should be seen as the leadership of the organisation; because this study is concerned with strategic leadership having a global view of the direction of the AU3.

Boal & Hooijberg (2001), for example, differentiate leadership ‘in’ the organisation, ‘supervisory’ leadership, from ‘strategic leadership’, leadership ‘of’ the organisation. What is more, ‘strategic leadership’ is marked by a concern for the evolution of the organisation as a whole, including its changing aims and capabilities (Boal & Hooijberg, p.5). House & Aditya (1997) contend that supervisory theories of leadership (e.g. path-goal, contingency, and leader–members exchange (LMX)) are concerned with task and person-oriented behaviours of leaders as they strive to give guidance, support, and feedback to followers, while strategic leadership seems to focus on the creation of meaning and purpose for the organisation.

There seems to be a dearth of literature covering strategic leadership of the organisation. Gardner et al. (2010), for example, in reviewing the scholarly study of leadership from 2000 to 2009, categorise ‘strategic leadership’ as a subcategory of ‘new directions’ in research in the field of leadership. Furthermore only 29 (4.3 per cent) of 682 research articles on leadership published during this period were concerned with strategic

leadership. The paucity of research in this subcategory is also exemplified by the fact that it seems to be difficult to distinguish the characteristics of ‘good leadership’ from those of ‘strategic leadership’ (Davies, 2003. p.303). Others add that ‘management and leadership roles in universities may be more parsimoniously conceptualized as boundary spanning’ (Pilbeam and Jamieson, 2010, p.758). The argument is that because universities are seen as network organisations, it is difficult to pin down the roles of strategic leaders into one focal point, and that they become spanners of boundaries within the entity.

Grant (2010) argues that many of the concepts and theories of business strategies have their antecedents in military strategy. Strategic leadership originates from the definition of strategy, which he claims derives from the Greek work *strategia*, meaning ‘generalship’. Hence SLs may be likened to army generals. What is more, in the business context, the work of Hambrick and Mason (1984) on ‘upper echelons theory’ has offered a strong focus on executives who have responsibility for an organisation. This theory suggests that ‘ultimately, they [the executives] account for what happens to the organisation’ (Hambrick, 1989, p.5). Indeed in summarising the paper of 1984, Hambrick (2007) states that the theory of upper echelons has two interconnected parts: (1) ‘executives act on the basis of their personalized interpretations of the strategic situations they face, and (2) these personalised constructs are functions of the executives’ experiences, values and personalities’ (p.334). These interconnected parts seem to play important roles in the subjectivities of these senior leaders as they interpret their roles; and in the ways in which they frame both their individual actions and the way they see the nuances in the roles they perform. In trying to understand how experiences, values, and personalities shape the way strategic leaders act, I pose my first research question:

- *in what ways do leaders working at the apex of the AU3 see their roles as strategic?*

This aligns with the idea that if one wants to understand why organisations do what they do, one must consider ‘the biases and dispositions of their most powerful actors’, i.e. strategic leaders (Hambrick, 2007, p.334). There is some criticism concerning the theory of ‘upper echelons’, for instance:

- while it increases our understanding of strategic leadership, it does not allow a direct study of strategic leaders’ behaviour (Cannella and Monroe, 1997)
- ‘it uses demographic proxies and it infers strategic leaders’ behaviours (Elenkov et al., 2005, p.667)
- most of these studies have been also conducted in Western, developed economies (predominantly in the United States). As such, it is unknown and relatively unexplored just how strategic leaders’ behaviours vary throughout the world (Elenkov et al., p.667).

It seems that these criticisms offer further opportunities to investigate strategic leadership in the contexts of HEIs in a majority world country. Having scoped the present study it helps to use proxies of demography (that is the top team and immediate executives) to examine the behaviours of the strategic leaders in the AU3.

Definitions of strategic leadership

In conceptualising strategic leadership, I refer to new areas of theory that have influenced the development of strategic leadership; in particular the seminal work of

Burns (1978) on transactional and transformational leadership and that of distributed leadership (Gronn, 2002; Spillane et al., 2004).

The motivational approach to leadership: transformational and transactional leadership

Transactional leadership is concerned with an exchange process between leaders and followers. It assumes that transactional leaders understand and are aware of their followers' needs and wants; this implies the creation of an environment to explore and communicate how these will be met and explain the associated rewards. According to Bass and Avolio (1994), the rewards are contingent on the followers conforming to the performance targets set by the leaders.

On the other hand, transformational leadership is characterised by the ability to nurture significant change in the followers and the organisation. It is assumed that these leaders have the ability to lead changes in the organisation's vision, strategy, and culture as well as promoting innovation. Middlehurst et al. (1992, p.34) state that 'at the heart of transformation leadership is the notion of higher-order change (at individual and organisational levels)'.

In an academic context, Bensimon et al. (1989) express scepticism about the ability of institutional leaders to bring about a paradigm shift in individuals or in institutions as defended by transformational leadership theorists. The main challenge is due to the nature and organisation of universities 'where a high visibility of the leader may not necessarily lead to motivating the followers. Loyalty is not to the university as a whole but to the individual department or discipline' (Middlehurst, 1993; p.36). This raises the question: 'how relevant is transformational leadership within universities?'

Distributed leadership

There are many definitions of distributed leadership: Gronn (2002) describes it as ‘concerted action’ where the whole is significantly more than the sum of its parts; whilst Spillane et al. (2004, p.3) proposed that from a ‘distributed perspective, leadership practice takes shape in interactions of people and their situation, rather than from the actions of an individual leader’.

In a study of 12 UK HEIs, Bolden et al. (2008) used in-depth case studies and interviews to investigate a range of perspectives to capture the concept of distributed leadership. They found two principal approaches to distributed leadership: ‘devolved’, linked with top-down influence, and ‘emergent’, associated with horizontal influence. They argued that though the literature supports the latter, in HE the former is more prominent. They concluded that as ‘a description of leadership practice, the concept of “distributed leadership” offers little more clarity than “leadership” alone’ (p.257). There is no study that acknowledges the notion of strategic leadership being ‘emergent’ or devolved. This study could explore if this is plausible in the AU3, where leadership could be seen as ‘linked with top-down influence’ or ‘associated with horizontal influence’.

Strategic leadership

Deriving from the above theories there seem to be burgeoning elements that require to be addressed in any model of strategic leadership. First that transactional leadership is concerned with an exchange process between the leader and the followers. Second that transformational leadership is concerned with the ability of the leader to nurture changes in the followers and in the organisation. In the same vein, distributed leadership practice is shaped by interactions with people and their situations and not by charismatic leadership. It relies, therefore, on the cognitive complexity developed by the leader, the

ability to be socially intelligent, and the capability of displaying behavioural complexity that help nurture both the follower and the organisation.

Boal offers the following description of strategic leadership:

Strategic leadership is a series of decisions and activities, both process-oriented and substantive in nature, through which, over time, the past, the present, and the future of the organization coalesce. Strategic leadership forges a bridge between the past, the present, and the future, by reaffirming core values and identity to ensure continuity and integrity as the organization struggles with known and unknown realities and possibilities. Strategic leadership develops, focuses, and enables an organization's structural, human, and social capital and capabilities to meet real time opportunities and threats. Finally, strategic leadership makes sense of and gives meaning to environmental turbulence and ambiguity, and provides a vision and road map that allows an organization to evolve and innovate (Boal, 2004, p.1504).

This description seems to claim that strategic leadership is concerned with:

- decisions and activities – strategic leadership makes decisions that lead to the activities that the organisation chooses to do or services that give the entity competitive advantage;

- values and identities – as mentioned above, this corroborates the second part of Hambrick’s (2007) proposition that ‘if we want to understand why organisations do the things they do, or why they perform the way they do, we must consider the biases and dispositions of their most powerful actors – top executives’ (p.334);
- structure, human and social capital and capabilities; and
- giving sense and meaning to the organisation, and the ability to steer the organisation in times of ambiguity and turbulence through a vision statement.

The shifts in HE worldwide, including in Benin, are due to changes in the external environment, in particular from government policies, diverse stakeholders demanding more accountability, and restrictions put on the funding mechanisms requiring the leaders to react to these demands. The question is how far SLs in HE adapt to their environments and how far these environments have an impact on the ways in which strategies are made.

If ‘strategic leadership is a series of decisions and activities’ (Boal, 2004, p.1504), the next research question is:

- *in what ways do leaders interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?*

Boal (2004) contends that structure, human and social capital and capabilities are the focus of strategic leadership. It could be interesting to examine in the context of the AU3 the ways in which strategic leaders attend to these; and my final research question is:

- *what are leaders' understanding of the contributions they make to developing and improving the university?*

In attempting to offer an integrative model of strategic leadership Boal and Hooijberg (2001) contend that the essence of strategic leadership involves the capacity to learn, the capacity to change, and managerial wisdom. They posit that cognitive, behavioural complexities, and social intelligence form the foundation for absorptive capacity, capacity to change, and managerial wisdom. They assert that vision, charisma, and transformational leadership functions are moderating variables in the relationship between cognitive complexity, social intelligence, and behavioural complexity, and absorptive capacity, capacity to change, and managerial wisdom.

Boal and Hooijberg (2001) make three propositions:

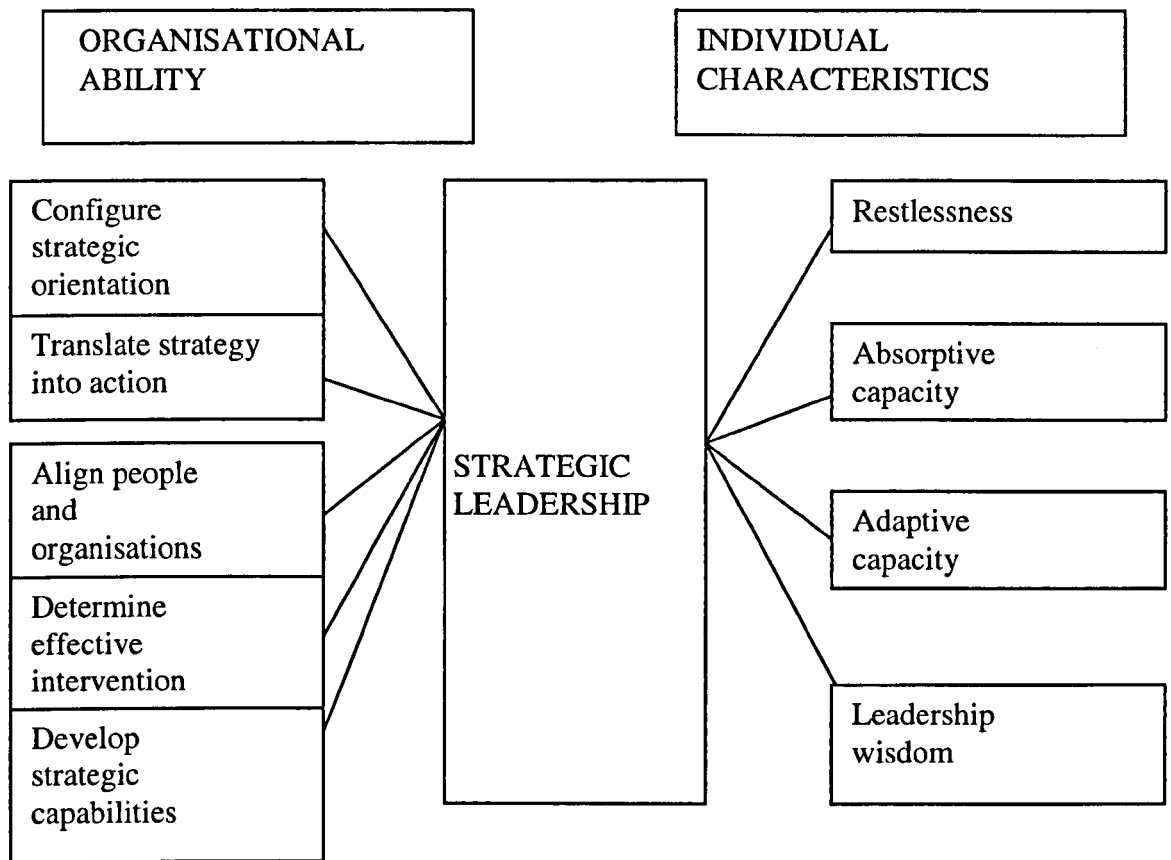
- leaders who have a broad understanding of environmental and contextual relationships (i.e. who have cognitive complexity) will have greater capacity than leaders who have a limited understanding of these relationships;
- leaders who are more behaviourally complex will have greater capability to change than leaders who have limited behavioural complexity;
- leaders with high social intelligence will have higher managerial wisdom than leaders who have limited social intelligence – the ability to apply interpersonal skills to understand their social setting.

In this study, in exploring the ways leaders interpret their decision-making abilities in relation to the concept of strategic leadership, I try to understand what the environmental

factors are and, as presented in Chapter 2, the elements of the three inter-connected contexts that affect their abilities. It might be possible to learn more by inference if the leaders have greater capacity or limited capacity in terms of reaction to a changing environment. Boal and Hooijberg contend that cognitive complexity is paramount, as leaders need to draw on it to deal with their stakeholders and environments.

Furthermore, the second proposition relies on the premise that leaders' social understanding of their environment influences their behaviours as strategic leaders. In my study I will seek to understand what the AU3's leaders do and the consequences of their actions. Finally, the third proposition will help to understand what leaders are doing in terms of understanding the interests of their stakeholders in the contribution and development of the AU3.

In the absence of credible empirical evidence, it seems that further research still needs to be done. However, these propositions seem to corroborate the research of Davies (2004) on developing strategy and strategic leadership in schools. The study does not focus on higher education but it does still have both resonance and relevance in that context. Based on a qualitative approach with ten primary schools (elementary schools), ten secondary schools (high schools) and three specialist schools, Davies posits that two approaches were used to identify potential strategic leadership practices in schools. He used both survey and telephone conversations. The findings presented what strategic leaders *do* and what characteristics they *possess* and suggest that strategic leaders have both organisational ability and individual ability. Figure 3.2 presents the characteristics.



Source: Davies (2004 p.36)

Figure 3.2: A model of strategic leadership

In terms of organisational ability, leaders develop an understanding of their context and the need for change, and translate that internally into action supported by motivated people with the authority, resources, and capacity to deliver. Davies then identified the key characteristics that are associated with leaders: restlessness (knowing one's vision, the ability to envision), absorptive capacity (the ability to absorb new information and assimilate it, but also the ability to learn from it), adaptive capacity (the ability to change), and wisdom (the ability to act in the right way at the right time). This is reinforced by Whitlock who states that:

leadership is the creativity, intuition, emotion, values, relationship building, and vision that are necessary in setting a new direction, redefining, reframing, reinforcing and communicating the *raison d'être* for the organisation (Whitlock, 2003, pp.11–14).

In a similar vein, Ireland and Hitt (2005), using results from research surveys/experiments carried out by others, e.g. 'a recent survey of 1.450 executives from 12 global corporations, found that the ability to "articulate a tangible vision, values and strategy for their firm" was the most important of 21 competencies considered to be crucial skills for global leaders to possess in the future' (p.68).

They conclude that to maintain their organisation's competitive advantage in the twenty-first century strategic leaders should focus on six key activities:

- establishing the vision and direction of the company, and clearly communicating this vision to everyone involved in the organisation;
- developing core competencies, since it is these, and not their products/services, which will maintain future competitive advantage;
- developing the knowledge and skills of the workforce, recognising that this will be one of the key resources of the organisation in the future;
- maintaining and shaping the organisational culture to provide competitive advantage;
- recognising that moral and ethical obligations are going to be a major factor for organisations in the future; and
- developing organisational controls that encourage employees to be innovative.

This literature is important to my study, because it will allow me to examine how the leaders in the AU3 establish vision and direction and communicate change to their employees. Furthermore, it will help me to try to understand how these leaders develop their own knowledge and skills and those of their employees. Culture is an important factor that shapes organisations (Deal and Kennedy, 1982); it will be helpful for the study for me to understand the ways in which these leaders use culture as both a resource and competitive advantage.

Finally, concerning moral and ethical obligations, this literature will help me to understand the ways in which the leaders interpret their own moral and ethical obligations and those of their employees. In addition, I will seek to understand how, in developing the culture of the AU3, the leaders encourage innovation and how they monitor the development and progress of their contribution.

The main questions and problems relating to strategic leadership that have been addressed to date

The main questions and problems dealt with surrounding strategic leadership are numerous and multi-faceted. In HEIs in particular, and in the Western world in general, the most influential works in the last decade are those by:

Sporn (1999) uses a case study and a grounded theory methodology to study six cases in Europe and in the US. The research methods were expert interviews and analysis of secondary documentation (including strategic plans, mission statements, handbooks, statistical material and reports, internal newspapers, speeches, and academic programme information). Sporn set out to investigate three questions:

- What does adaptation mean for the universities?
- What factors influence university adaptation?
- What is the role of governance, management, and leadership?

She proposes the following seven key theories of adaptation:

1. adaptation in universities is triggered by environmental demands which can be defined by the institution as crisis or opportunity;
2. in order to adapt, a university needs to develop clear mission statements and goals;
3. an entrepreneurial culture enhances the adaptive capacity of a university;
4. a differentiated structure enhances adaptation at universities;
5. professionalised university management helps adaptation;
6. shared governance is necessary to implement strategies of adaptation; and
7. committed leadership is an essential element for successful adaptation.

This work has the following strengths: it is well grounded in data which was collected using multiple data collection instruments (e.g. interviews and secondary data). It uses a comparative case study approach; the findings are generalisable geographically and analytically. Moreover, the pertinent findings are the concerns with propositions 5, 6, and 7 above.

Sporn claims that her case studies showed the growing importance of administration in the form of a professionalisation of university management. This, she argues, implies full-time employees using modern management tools, and increased power for leaders to

make decisions for the institution. She adds that the principles of shared governance defined democratic participation of interest groups and finally that rectors or presidents have to demonstrate their commitment through financial support of projects and activities. A vision that is communicated internally and externally can motivate members of the community and can increase identification with new response strategies. This research strengthens my preoccupation with what strategic leadership means for the development of HEIs.

Despite these strengths, critics may argue that because the study focuses on European and US universities and does not take into account other geographical regions (e.g. the Far East and Africa), it is weak in terms of external validity. Nevertheless, I contend that this is one of the rare studies to my knowledge that explicitly claims that good management, governance, and strong leadership at the apex of the organisation can help adaptation in the HEIs' context.

Goodall (2009) was interested to know 'why Research Universities should be led by top scholars?'. She conducted 26 interviews with leaders in universities across the US and Europe and argues that:

- research universities should be led by individuals who have been accomplished scholars in their academic career;
- a president's appropriate level of scholarship will depend on where the university currently is – in terms of its research ambitions or position in rankings – and where it wants to be;
- university presidents need power if they are to lead; and

- organisations linked to university policy-making or funding should also only be led by noted scholars.

The reasons why presidents should be able scholars are fourfold: (a) scholars are more *credible*; (b) being a top scholar provides a leader with a deep understanding or *expert knowledge* about the core business of universities; (c) the president sets the *quality threshold* in a university; (d) a president who is a researcher sends a *signal* to the faculty that the leader shares scholarly values and that research success in the institutions is important. She concludes that the central argument is that of expert leadership, as this helps understand the core business of universities. The merit of this work is that it stresses the need for strong leaders to lead the university. It is based on both interviews and a survey adopting a longitudinal design. The weakness is that of external validity, because once more the focus of the study is on Western countries and the sample is dominated by US and European universities.

From these studies I conclude that strategic leadership matters at the apex of the organisation. Other studies claim the importance of leadership. For example, Lynch and Baines (2004) research the development of strategy in UK HE, focusing on resource-based strategy to gain competitive advantage; Gronn (2008) explores the future of distributed leadership; Bryman (2007) reviews the different styles of or approaches to leadership associated with effective leadership in HE; Yelder and Codling (2004) propose a model of leadership within tertiary education based on research into expertise and institutional distinctiveness; Blackmore and Blackwell (2006) consider institutional leadership in academic development; and Inman (2011) examines the journey of 18 academic leaders within six chartered and statutory universities and concludes that contextual factors may play an important role in the journey to leadership in HEIs.

Finally, Williams (2009) focuses on strategic leadership, and uses two visual models to identify the critical environmental and organisational variables that deans have to contend with in modifying the school/environmental fit.

All these works claim that strategic leaders may have an impact on the performance of their institutions, but they are all based in the context of western culture. The challenge could be summed up as ‘can educational leaders in the context of the AU3 emulate or adjust to these types of development to improve their institutions?’

I finish this review by considering the conceptual framework of this study, which follows the model depicted in Figure 3.3 below. This conceptual framework posits that for the university to adapt effectively to its environment there is a need to understand this environment, and that the role of an SL depends primarily on his/her organisational ability and individual characteristics. This role could be positional or processual by nature, or task- or patterns-oriented.

Furthermore, the individual’s ability to understand their formal role plays a critical part in helping to align these roles with the organisational vision and mission. In turn this should enhance the decision-making processes that should lead to effectiveness and improvement.

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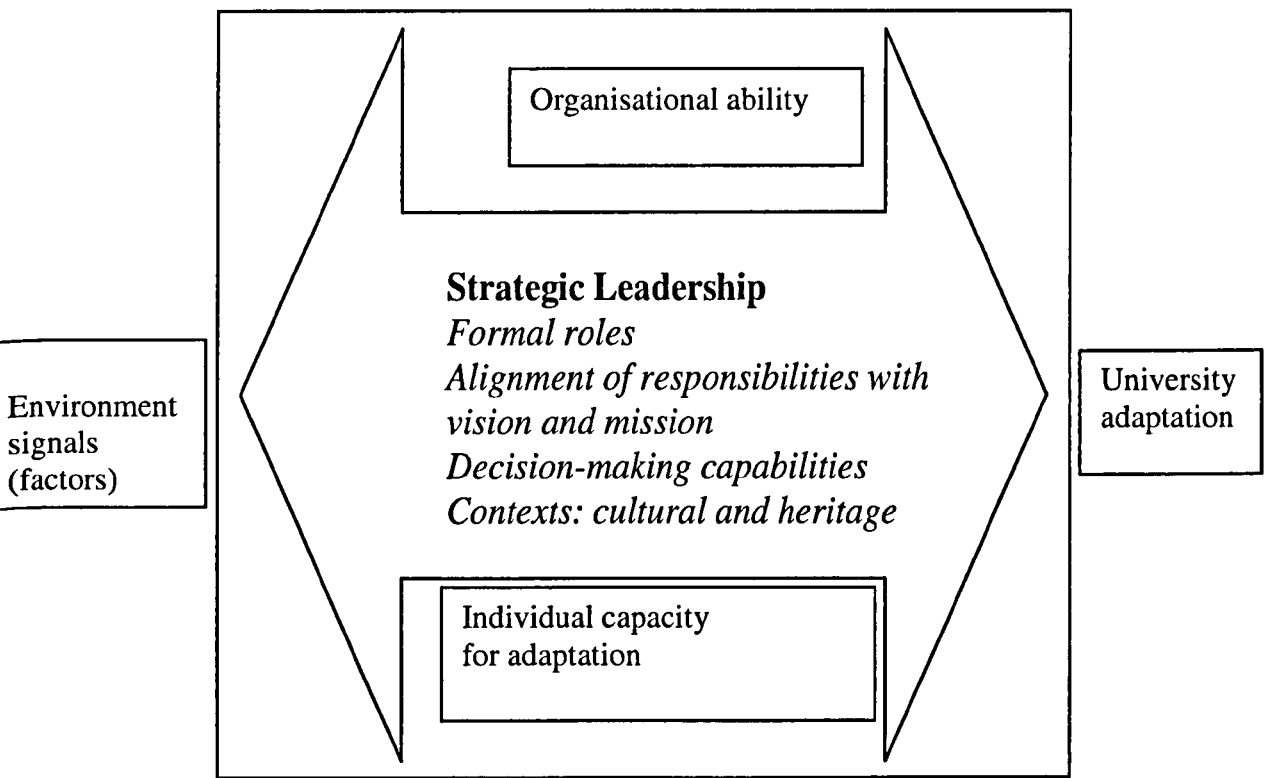


Figure 3.3 A conceptual framework: the transforming role of strategic leadership proposed by this study

Focusing on the role of strategic leadership in the AU3, this study therefore first considers the nature of the roles performed by these leaders in their daily functions; second, it reflects on the alignment of these roles with the mission or vision of the institution; third, it examines the strategic issues faced by these leaders in the execution of their duties and responsibility; fourth, it enquires into the nature of the strategic decisions made in the process of the execution of these long-term commitments; and finally it examines the skills, competences and abilities deployed in discharging these functions. This model uses the contingent view of leadership, that is, leadership is shaped by the context (environment), organisational ability, and individual characteristics, and addresses the nature of decision-making ability and the strategic impact and outcome of the decision in particular.

The conceptual framework above relies on a number of organisational adaptation theories which together with phenomenology run through the development in the next chapters: open system theory, contingency theory, and resources dependence theory.

Open system theory

Briefly, proponents of *open systems*, e.g. Bertalanffy (1968), argue that the explanations of managing and organising a system focus the attention on:

- organisations, industries and societies as systemic wholes;
- the behaviour of people within a subsystem or system;
- the nature of the boundary around a subsystem or system;
- the nature of the relationships across the boundaries between subsystem and systems,
- the requirements of managing the boundary.

This literature helps to examine the ways in which leaders understand the boundaries of the AU3, and how they explain this in the shaping of relationships across the boundaries.

Stacey (2007) posits that the open system concept provides a tool for understanding the relationship between: (a) the technical and social aspects of an organisation; (b) the parts of and the whole organisation; (c) the whole organisation and the environment.

This helps us to consider the AU3 as an open system in which individuals and groups, and individuals within the whole organisation continually interact. Yet this seems to present a set of ambiguities and uncertainties. Thus leaders operating in such an environment will need to find mechanisms to address these. Stacey further argues that

success has to do with the management of the context or boundary conditions around a group; and that the purpose of managing the context, or boundaries, is to create an emotional atmosphere in which it is possible to overcome defences and test reality rather than indulge in fantasy (p.117).

Contingency theory

This theory emphasises that design decisions are dependent on environmental conditions such as changes in information technology, government policies, and so on. As Mintzberg (1979) argued, organisational structure depends on environmental characteristics. Mintzberg identified five viable ‘configurations’ of organisational structure which arise to fit the needs of different environmental ‘contingencies’, without stating clearly which produce superior performance. Correspondingly, the AU3’s current structure should be constrained by environmental changes.

Resource dependence theory

The basic assumption is that organisations need to acquire their resources by exchanging with others in their environment, and this creates the dependencies. According to Sporn (1999) the scarcity of resources determines the degree of dependency. This theory is used by Assié-Lumumba (2006) to express the view that this dependency is to the detriment of African universities.

Together these theories constitute the foundation of organisational adaptation which is a key underlying fixture of my conceptual framework (p.60), that is I argue that universities are subject to environmental changes both internal and external that induce their path of development and growth; and that actors in the AU3 institutions could pull the system in different directions, thus creating instability.

Conclusion

In this chapter, I have considered the key theories, concepts and ideas that have dominated the discourse on leadership since the 1940s. I have focused on the framework of Bolden and Kirk (2009) to stress that most theories could fit into the classification of essentialist, relational, critical, and constructionist theories. Also, I have reflected on the emergent leadership theories of value-driven, uplifting leadership and tried to conceptualise the concept of strategy using Mintzberg et al's 2009 typology to conclude that in reviewing the literature, the key themes drawn out are that the concepts of leadership and strategy are intertwined. These conceptualisations have helped me to situate my study in the extant body of literature.

Second, I have examined the origins and definitions of strategic leadership, and in doing so, I contend that the literature on strategic leadership has its origins in the seminal work of Burns (1978) on transformational and transactional leadership, and the literature on distributive leadership (Gronn 2002; Spillane et al., 2004). I posit that the work of Hambrick and Mason (1984) on the upper echelons theory can be seen as the antecedent to strategic leadership theory. I then conclude that strategic leadership matters and is different from supervisory or middle-management leadership.

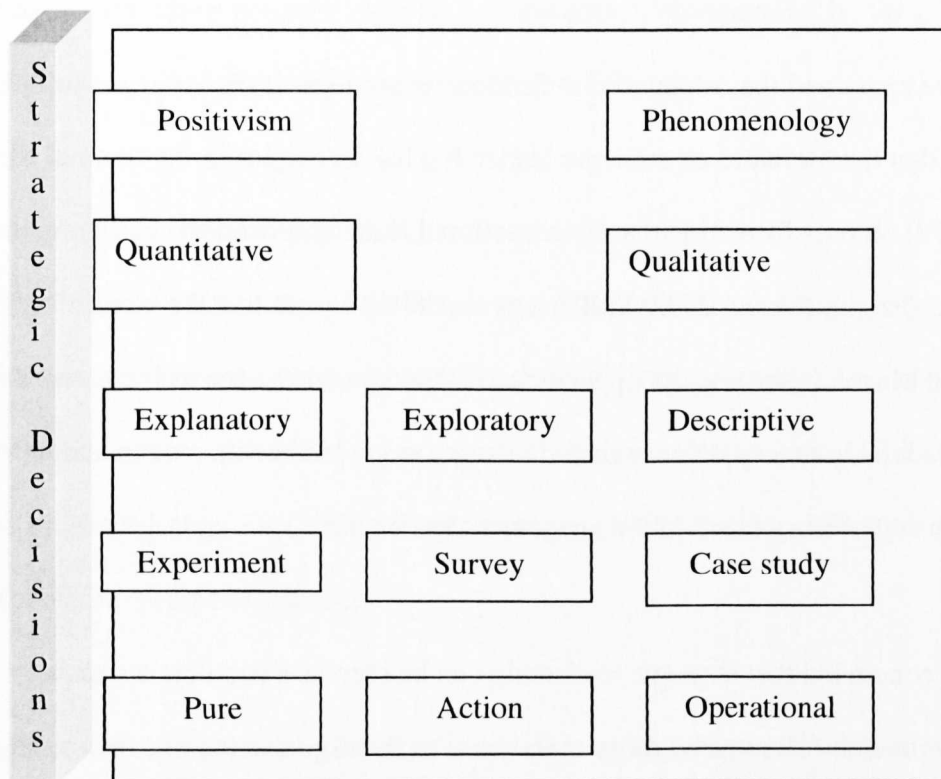
Third, I have concluded that strategic leadership can be seen as a position, a task, a pattern, and a process followed by those at the apex of the organisation to express their roles and responsibilities. Interpreting these roles and responsibilities demands an understanding of the environments and in particular the contexts in which the strategic leadership operates and how they make decisions to meet further the strategic objectives of their organisation.

Chapter Four

Methodology

This chapter outlines the research approaches available for the inquiry, and explicitly states the reasons for the choices made. It will also give an account of the research design – a case study of the African University 3 (AU3); and of the data collection instrument selected – semi-structured interviews. The methods used to analyse the data, and the ethical and access issues faced in the study will also be discussed.

To achieve these ends, I selected the research strategy framework (general approach taken in an inquiry) proposed by Robson (1993) (see figure 4.1 below), because it offers a simplified and systematic overview of carrying out research.



Source: adapted from Robson (1993)

Figure 4.1: Strategy research decisions

The literature claims that the research design and research method should suit the research question. For instance, Creswell (2007) argues that in qualitative study research, questions are a central part of research design. This is reinforced in the citation below in which Mason stated that:

the research questions should be clearly formulated (whether or not you intended to modify them or add to them later), intellectually worthwhile, and researchable (both in terms of your epistemological position and in practical terms) because it is through them that you will be connecting what it is that you wish to research with how you are going about researching it (Mason, 2002, pp. 19–20).

My over-arching research question is: What are the nature and characteristics of strategic leadership in contributing to and developing the AU3? This question is then sub-divided into three sub-questions:

- in what ways do leaders working at the apex of the AU3 see their roles as strategic?
- in what ways do they interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?
- what are their own understandings of the contributions they make to developing and improving the university?

Epistemology

I start by focusing on epistemological and ontological issues because most of the conceptualisation of 'leadership' in general, and 'strategic leadership' in particular seems to derive from a particular perspective on epistemology and ontology. These terminologies, however, appear to create confusion and contradiction in the eyes of many. So for the sake of clarity, *epistemology* is defined as:

the study of the nature of knowledge – what counts as valid knowledge, and how it can be gained (Potter, 2006, p.79).

while ontology:

addresses questions about what things are and their being-in-the-world, it is about the nature of the world, what it consists of, what entities operates within it and how they interrelate to each other (Potter, 2006, p.79)

In this section I will argue that positivist epistemology and objectivist ontology dominate the research on leadership with the preferred research design being experiments and other quantitative approaches. This is due to the long-term relation to and impact of social psychologists on the field of leadership research (Fine and Elsbach, 2000). For example, early studies at Ohio State University (Hemphill and Coons, 1957), the University of Michigan (Cartwright and Zander, 1960), and the behavioural theories of Bower and Seashore (1966) and Bass (1981) were all rooted in positivist epistemology and objectivist ontology. A review of the 50 most cited articles from *The Leadership*

Quarterly between 1995–2009 suggests that one-third were empirical and that most were dominated by the said epistemology and ontology.

According to the editors of *Leadership*:

... studies of leadership have typically drawn on a narrow range of functionalist theories (based mainly on psychological studies and perspectives limited primarily to social psychology), using positivist methodologies, and producing quantitative findings; as a result, empirical findings have tended to be rather objectivist, essentialist and functionalist, frequently abstracted from specific local contexts (Collinson and Grint, 2005, p.7).

This seems to presuppose that interpretivism and subjectivism approaches have to be considered to take into account the context in which leadership delivers its functions.

The fundamental concern in this section is that of the epistemological perspective taken in this research – that is my own assumptions and understanding about knowledge and hence how the concept of strategic leadership in HE in the AU3 can best be explored.

First, Robson (1993) suggests that there are two epistemologies in social sciences: positivism and phenomenology. Bryman and Bell (2007) also identify two epistemologies in social sciences: positivism and interpretivism. Both sets of authors agree on positivism defined by Bryman (2008, p.13) as ‘an epistemology that advocates the application of the methods of natural sciences to the study of social reality and beyond’.

In contrast, however, phenomenological and interpretive traditions focus on the need to understand the ways in which humans view themselves and the world around them that can be defined and mapped. Bryman (2008, p.16) defines interpretivism as ‘an alternative to positivism orthodoxy, which required respect of the differences between people and objects of social sciences and therefore requires the social scientist to grasp the subjective meaning of social action’. This concurs with Pring’s (2004) suggestion that, to understand other people requires an understanding of the interpretations they give of what they are doing. This is important as I am trying to understand the nature and the characteristics of strategic leadership in the context of the AU3 from the perspective and interpretations of the current incumbents. The phenomenologist views human behaviour as a product of how people interpret the world. To understand the meaning of a person’s behaviour the phenomenologist attempts to see things from that person’s point of view (Bogdan and Taylor, 1975).

Second, I take the view that phenomenology is a philosophy that deals with the question of how actors make sense of the world around them and how in particular the researcher should bracket out preconceptions in his or her grasp of that world (Schutz, 1962–1970).

I outline and contrast these two paradigms.

Positivism versus phenomenology/interpretivism

	Positivism – Deduction	Interpretivism/Phenomenology – Induction
Basic beliefs	Science is value free Observer is independent World is external (ontology) and	Human interest drives science Observer is part of what is observed World is socially constructed (ontology)

	objective (epistemology) Explanation uses analysis of causal relationships and fundamental laws	and subjective (epistemology) Explanation of subjective meaning held by subjects through understanding
Researcher should	Use diverse controls, physical or statistical, to allow the testing of hypotheses Use structured research methodology Formulate hypotheses and test them Reduce phenomena to simplest of elements	Commit to naturally occurring situations of everyday life, allowing access to reduce fabrication Use minimum structure in research methodology Develop data through induction Look at the totality of each situation
Preferred Methods	Generate and use quantitative data Operationalisation and measurement Large samples Generalisation Rigour and validity	Generate data through qualitative data Variety of methods and opinions/conversation Small in-depth sample Context-bound understanding Trustworthiness, utility, and triangulation
Research aim	To explain the world in terms of 'laws of nature' To test theories	To gain insight and understanding of the world To develop theories

Table 4.1: Comparison of positivism and phenomenology research philosophy

From these two perspectives on research, it is possible to say that positivism, which regards the world as objectively ‘out there’, real and completely separate from human sense and meaning-making and has knowledge as ‘it is true’, contrasts with the perspective of phenomenology, which argues that the only world open to humans is that of meanings, embedded in signs, symbols, conversations, and interactions between fellow humans. I decided to adopt a phenomenological perspective (see Table 4.1)

because I believe that the organisational world is socially constructed and subjective and that the observer is part of the phenomena. In addition, phenomenological research focuses on the subjective experience of the individuals. It examines the nature of their experience. How can I as researcher understand and describe what happens to them from their own point of view? This perspective offers the opportunity to understand the phenomenon of strategic leadership in the context of the AU3. This research on the concept of 'strategic leadership in the AU3' is an enquiry into a social phenomenon.

In contrast to phenomenological study, positivist research in an organisation has a few drawbacks according to Howe (1985), Scott (2001) and Bheling (1980). In particular, there is the question of whether there is such a thing as value-free observation/research. Also questionable is the extent to which the world can be quantified and described as an orderly and patterned place, and human life determined. There are others drawbacks, such as:

- uniqueness, such that general laws cannot be drawn;
- instability: as organisations change over time, so does the underlying strategic leadership competence required; and
- sensitivity, as the subject of the study may change because it is aware that it is being studied.

I aim to understand inductively what is happening in 'an attempt to recover a fresh perception of existence, one unprejudiced by acculturation' (Sadler, 1969, p.377), by collecting data from interactions with interviewees to explore their roles in the future of HE in the AU3. I try to examine my own values later on the insider/outsider continuum

with the aspiration of ensuring a value-free possible research. In a similar vein, I consider that the phenomenological approach to research stresses the importance of reflexivity, i.e. an awareness of the ways in which I interplay my dual nationality; hence my mixed identities and background have an impact on the research process through the choices I make (Robson, 2011).

This introduction to the epistemological and ontological nature of my research on leadership has three aims: (a) to help understand how the knowledge of the concept of leadership has developed and been structured over the last 60 years; (b) to review the research traditions that have informed research on leadership; (c) to understand the practicalities (methodological and sense-making approaches) of investigating strategic leadership in a context where the transmission of knowledge has for centuries been *oral based* and the *language* used (i.e. French) is seen as the official language of the former colonial power.

Having selected the research perspective, i.e. phenomenological, I now return to the research approach. Deriving from the above discussion, a qualitative approach is selected.

The research approach

Strategic leadership and qualitative research

Kempster and Parry (2011) argue that key aspects of significance in leadership research are the emphasis on social, contextual, processual, and relational factors and that these call for a deployment of a qualitative approach in such research; because it enables the

emergence of nuanced and contextualised richness within organisational structure, relationships, and practices (p.108). Other theorists such as Collinson and Grint (2005) and Conger (1998) have also advocated the use of a qualitative approach to leadership research. For example, in stressing the importance of using these approaches, Bryman states that:

qualitative research using epistemology such as realism, critical realism and interpretivism; and ontology such as constructivism and postmodernism has made some important contributions to certain areas of leadership, such as the role of leaders in change process, how leaders manipulate symbols and meaning to achieve organisational ends, uncovering or attaching greater significance to aspects of leadership that are relatively neglected by quantitative researchers; appreciating the relevance of context for leaders' behaviour, giving us insights into the worlds of senior leaders, as well as leaders at lower echelons, and enhancing our understanding of the relevance of language for leadership (Bryman, 2011, p.762).

Another theorist supports such citation and adds that:

in reality, qualitative research must play an important role no matter what stage we are in the investigation of leadership topics. The main reason is the extreme and enduring complexity of the leadership phenomenon itself. For the foreseeable future, there will be no endpoint – a moment where researchers will be able to say that we now have a complete and shared understanding of leadership. This is powerfully exemplified by the fact that after literally thousands of

studies in the field we have yet to develop a general theory of leadership that explains all aspects of the process adequately (Conger, 1998, p.108).

Deriving from the above research perspective, this study is qualitative, in that it is more concerned with the outcomes of exploring and describing participants' (social actors') meanings and interpretations. It predominantly emphasises words rather than quantification in the gathering and analysis of data, and it adopts inductive reasoning (Blaikie, 2010), that is, a reasoning concerned with the relationship between the evidence collected and the propositions drawn from the evidence.

The study also rejects the norms and the practices of natural science and of positivism, and accepts that individuals interpret their social world. It expresses the view that social reality is constantly shifting and emerges from individuals' creation (Bryman and Bell, 2007; Blaikie, 2010) and that the study should be seen as a 'naturalistic inquiry' taking place in a real world setting (at the AU3). As researcher, I am not attempting to manipulate the phenomenon of 'strategic leadership'. This should unfold by itself during the research process (Patton, 2002).

Finally, I have selected the qualitative approach because it is my view that the concept of 'strategic leadership', although growing in the literature in Western countries, might benefit from further exploration in the context of HE in the AU3, hence the study needs to be contextualised and meaning derived from participants' interpretation and construction (Grint 2005, Middlehurst, 2008). Moreover, I firmly believe in the idea of representation of reality through the eyes of participants in social and educational research (Arbnor and Bjerke, 2009) and adhere to the importance of viewing the

meaning of experience and behaviour in context and against its full complexity. I have an attitude towards theorising based on emergence of concepts from data rather than imposition in terms of *a priori* theory (Henwood and Pidgeon, 1992).

Research purpose

Robson (1993, 2011) suggests that in addition to the need to make a contribution to knowledge, the purpose of research may be the following: to explore, to explain, or to describe a particular event or situation.

Blaikie (2010) posits that research can set out to explore, describe, explain, understand, predict, change, evaluate, and assess impacts. This research aims to seek new insights into the nature and characteristics of strategic leadership in HE in the AU3; ask emerging questions from participants' answers; and assess the ways strategic decisions are made and the impact of these strategic decisions on the improvement and development of the AU3.

Pilot Study

Aims and objectives

The pilot study was based at the Scottish University (SU) and two African universities: AU1 and AU2. I selected the SU because of convenience – ‘available to me by virtue of its accessibility’ (Bryman, 2008, p.183), as I live and work in the Scottish city in question. To ensure that an ‘insider’ bias (Robson, 2011, p.157) was avoided, the sample (informants) was selected from schools and colleges within the university with which I

had no direct contact. AU1 and AU2 were recommended by colleagues who had connections with those universities.

Sampling strategy for the pilot

A convenience sample (Easterby-Smith et al., 2004; Bryman and Bell, 2007) of six strategic leaders was selected. I validated the findings using the ‘respondent validation’ technique which was aimed at seeking participants’ collaboration on the account and outcomes (Bryman, 2008). The main aim of the pilot study was to test the data collection instruments – ‘semi-structured’ interviews and documentary data. It also helped to try out the research questions and theoretical frameworks.

It was important to include participants from Africa if the research instrument was to meet the test of applicability and relevance. Although the data collection at SU was semi-structured interviews, the AU1 and AU2 data was collected by phone and tape recorded. From the pilot it was felt that the research questions needed to be refined in line with the epistemological position (phenomenological/interpretivism) selected (p.67). In particular, my aim was to collect data that reflected the participants’ viewpoints, meanings, and interpretations of the ways roles are seen as strategic, on the strategy, the strategic issues they faced, and on the ways in which they made strategic decisions.

Amendments derived from the pilot

The pilot suggested the need to delete questions that are either seen as technical in their wording or that lack clarity to respondents from the interview schedule (see Appendix 4), and elaborate on some others, for example:

- Part 1: Question 1 (Formal responsibilities): How does your job relate to the core mission and current goals and objectives of SU, AU1 or AU2? The question was

refined because it was seen as too complicated for the first question. It was suggested that asking respondents to describe their formal roles instead might provide an easier introduction.

- Part 2: Question 2.1: Could you please tell me if there are any discrepancies in the job as given and in the job as taken? This question seemed to be too technical, as respondents needed further explanation on the concepts of 'job as given' and 'job as taken'. This question was dropped.

As a result, part 1 of the interview in the main study included three simple questions related to the description of formal roles, the existence of linkage between these roles and the university mission and concerns regarding any other informal roles, as respondents perceived these.

While the pilot consisted of 26 questions, the final version was 36 questions (Appendix 4). Not all 36 questions were asked at any given time, but these offered a comprehensive framework which allowed for flexibility depending on the respondents' answers and the direction of the interviews. The pilot study used a semi-structured interview and documentary data as data collection instruments; these were also adopted for the main study. Data analysis in the pilot used a thematic analysis. However, it was felt that using grounded theory⁶ as an analytical tool in the main study would help in formulating or generating theory from the data.

⁶ Grounded theory, the discovery of theory from data (Glaser and Strauss, 1967, p.1), aims to generate theory by grounding that theory in data rather than verifying theory as traditional quantitative research does.

Sample strategy for the main study

The main study adopted a purposive sampling: in total I conducted 20 interviews, including three joint interviews (interviewing two people together). The aim of this study was to generate an in-depth analysis. However, because 'issues of representativeness were less important' (Bryman, 2008, p.497), my concern was to achieve a purposive sample, that is, I selected people who were in strategic positions within the institution, people who understood the nature of their jobs as strategic to the university and who had the vision to lead others. I derived from this that the unit of analysis was individuals in their organisation (Yin, 2009). To avoid bias I asked the Rector's secretary to produce a pool of potential interviewees from which the sample was taken.

The sample comprised:

- two heads of faculty and one faculty secretary general: DF. 1, DF. 2, and SG. 2;
- two directors of schools: D. 1 and D. 2;
- four heads of associated technical support services: Rep. 6, Rep. 7, Rep. 8, and DL;
- one student union representative: S. 3;
- two staff union representatives: S. 1 and S. 2;
- one external stakeholder (for example a former rector): D. 3; and
- two divisional service heads: P. 1 and P. 2;

plus

- the six members of the Rector's Council: two vice-rectors, Rep. 1 and Rep. 2 (one vice-rector was on leave), the secretary to the university, Rep. 3, the accountant general, Rep. 4 and the director of the rector's cabinet, Rep. 5.

Appendix 6 gives full details of the interviewees' positions in the organisation.

Research design

There are different research designs used in research on leadership: survey research, field investigations, experimental, historiometric, and quantitative. According to Mumford (2011, pp.4–5), however, 'the success of experimental studies [the preferred design of these social psychologists] depends on the importance of the process being examined (e.g. cognitive, affective, and interactional) and the relevance of the performance task to leadership'. It seems that multi-methods are now being used to complement areas of weakness derived from experimental research, such as the practical and ethical problems of achieving random assignment to different experimental treatments or conditions; another example is the lack of control over extraneous variables (Robson, 2011). And it is possible that other research designs such as the case study and cross-sectional and participant observation could equally add to the extant knowledge.

Robson (1993 and 2011) suggests that there are three main research strategies: case studies, experiment, and survey. For the purpose of this research, I will focus only on the Robson framework and particularly on case studies. I did not select experimental or survey designs because, as mentioned above, leadership research is dominated by quantitative methodologies associated with psychology (Fine and Elsbach 2000; Bryman, 2004 and 2011; Collinson and Grint, 2005). Furthermore, these two designs do

not take into account the processual and context-based perspective of this study. I therefore opt for a case study design.

Case study

Design is the logic that links the research questions, the data to be collected and conclusions to be drawn (Yin, 2009). Others such as Nachmias and Nachmias (1992) argue that design is a plan that ‘guides the investigator in the process of collecting, analysing and interpreting observation’.

The study design is a qualitative single case study (Blaikie, 2010). This is seen as an appropriate design because strategic leadership is a new subcategory of leadership that the literature has confirmed as a growing phenomenon (Gardner et al., 2010).

According to Myers (2009), the term ‘case study’ has a variety of meanings. He asserts that a case study is ‘the description of a particular case or situation used to draw some conclusions about the phenomenon’ (p.74). I note that in this definition the operative word ‘description’ may be seen as too simplistic and that one might prefer the word ‘analysis’ to ‘description’. Others such as Payne and Payne (2004, p.31) see a case study as a single social unit that is ‘one physical place, the people making up the unit being differentiated from others who are not part of it. In short the unit has clear boundaries which make it easy to identify’.

In general, case study research is:

... an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between the phenomenon and context are not clearly evident (Yin, 1994, p.13).

The case study approach is therefore appropriate where issues are embedded within the fabric of the organisation. Furthermore, according to Yin (2009), case studies are the preferred method when '(a) "how" and "what" questions are being posed, (b) the investigator has little control over events, and (c) the focus is on a contemporary phenomenon within a real-life context' (p.2). He continues by stating that in case studies, 'the richness of the phenomenon and the extensiveness of the real-life context require case study investigators to cope with a technically distinctive situation: there will be many more variables of interest than data points' (p.2).

Yin (2003) defines a case study as an empirical inquiry dealing with the real-life context: that is in this study the phenomenon 'strategic leadership' is not divorced from its context with the AU3. This leads to the fact that I have no control over the situation in the field, as demonstrated during my data collection (e.g. joint interviews).

Taken as an inquiry, the case study allows the use of multiple sources of evidence. Yin (2009) advocates using multiple sources of evidence, triangulating these data.

I selected the case study design because it offers the possibility of avoiding being superficial and failing to capture the richness and complexity of real-life situations which are associated with both cross-sectional and longitudinal research designs.

Bryman and Bell (2003) argue that case study research can contribute to theory development by generating new theory, or by refining existing theory. The aim is to

explore the phenomenon of strategic leadership and its application to the AU3's leaders. In addition a case study offers a strong 'face validity', that is a real story in a real institution with real people.

Critics of case study research design argue that it does not offer external validity or generalisability (Bryman and Bell, 2003). But Yin (2003) contends that case studies can be helpful in other ways to test possible generalisations using the logic of replication. Stake (1995) concurs that generalisation can be realised on the basis of established theory between different contexts and Bassey (1999) uses the analogy of 'fuzzy logic' to account for the ways in which external validity (that is generalisation) between cases might be approached at the level of 'over-arching principles and theory'.

Moreover, Myers (2009, pp.77–78) suggests that case study research that is based on interpretive and constructivist epistemology, i.e. where social reality is constructed, offers an attempt to understand the 'phenomena through the meanings that people assign to them'. I will therefore be using an in-depth case study design. The investigation on the role of strategic leadership at the AU3 may pose difficulties in terms of finding appropriate variables to control or manipulate – for example the socio-cultural climate in which the researcher performs this investigation; and in terms of producing case studies that are 'meaningful' and 'rich'(Hartley, 1994).

A single case study will be used here; Bryman (2011) suggests that of 72 empirical articles published in *Leadership Quarterly* between 2005 and 2009 50 per cent were of case study design. I now turn to the data collection instruments.

Data collection instruments

Semi-structured interviews

There are different types of data collection instrument in qualitative research; but I selected semi-structured interviews. On the one hand, structured interviews employ pre-formulated questions, strictly regulated with regard to the order of the questions, and sometimes regulated with regard to time available. They have the strong advantage of consistency across interviews, but have the drawback of missing out on one or more new insights; they allow for faking by the respondents (this is applicable to other forms of interviews as well); and setting up respondents to answer questions in a socially desirable way, leading to interviewee biases. To avoid bias the sample group was expanded beyond the main target group – the Rector's Council and heads of schools and faculties – to include heads of services and students and staff unions. This made it possible to double check and trace back on grey areas.

On the other hand, unstructured interviews have few if any pre-formulated questions, although it is claimed that this allows interviewees to talk freely and stress what they consider important. There are a few shortfalls, however, in terms of the control the interviewer can exert on talkative or non-talkative interviewees.

Semi-structured interviews were chosen for a number of reasons. The nature of the research question is to explore the nature and characteristics of strategic leadership in HE. Semi-structured interviews provide an understanding of the social constructs of the interviewees, and how they view their worlds as SLs. Moreover, there is the flexibility offered by the semi-structured interview: I was guided by an inventory which covers each section of the schedule. There was an opportunity for the interviewees to express

themselves and add more to the conversation, which was enhanced by ‘probing questions’ from me.

Nature and questions asked (see interview schedule at Appendix 4)

The interviewees were asked to talk about the nature of their formal responsibilities; the extent to which their jobs relate to the core mission and current goals and objectives of their institution; their own perceptions about their roles; the strategic issues they faced in the execution of their duties; and the nature of the strategic decisions they made. They were asked to talk about their leadership skills and attributes and how they see their future successors. Indeed these types of open-ended questions permitted an iterative process of refinement, whereby a line of thought identified by earlier interviewees could be taken up and presented to later interviewees (Beardsworth and Keil, 1992).

The insider/outsider continuum during my research

I mentioned on p.71 that a phenomenological approach to research stresses the importance of reflexivity, i.e. an awareness of the ways in which I (of dual nationality and hence of mixed identity and background) have had an impact on the research process through the choices I made.

According to Hammersley, it is quite common today, especially among qualitative researchers, for a commitment to reflexivity to be seen as, in effect, a substitute for objectivity. He continues by defining reflexivity as:

the attempt to make explicit all the assumptions, values commitments, feelings etc., which went into or which underpin one’s research, how it originated and progress etc., so that readers can understand how the conclusions were reached (Hammersley, 2011, p.96).

Reflexivity has three main advantages. First, it ensures an ‘audit trail’ is made available to readers for checking how I as the researcher came to my conclusions (Lincoln and Guba, 1985). Second, for other theorists this notion of reflexivity is necessarily infused by a personal perspective i.e. the epistemological perspective (in this research – phenomenological). Finally, others still take the ethical stand of fairness; that if the researcher is asking people to expose themselves by providing information about their lives, then the researcher’s own character and life ought to be included within the focus of the research. Here I try personally to examine how I progress along the insider/outsider continuum during the research. Hellawell (2006) contends that such an examination may help with self-scrutiny/reflexivity in relation to the research process.

But before I present my movement on the continuum, I start by borrowing the definition of Merton (1972), who defines an ‘insider researcher’ as an individual who possesses *a priori* intimate knowledge of the community and its members. Yes, I was born and educated in the Republic of Benin, but moved to the UK fifteen years ago. Therefore, it might not be correct to say that I have an *intimate* knowledge of the ‘community and its members’. Merton (1972) defines an ‘outsider researcher’ as someone who does not have *a priori* familiarity with the setting and people he or she is researching. Yet I could not claim that I do not have *a priori* knowledge or understanding of the setting. This is exemplified by the fact that I still carry a vivid image of the culture and values of my country in me today after 15 years in the UK.

Even better, the setting of the study is HE and I currently work in an HEI, albeit in a developed country. But I do have some knowledge of how one wheels and deals with leadership in HEIs worldwide. This presents me with the dilemma of claiming whether I

am an insider or an outsider, but I think it might be better saying that I am sensitised to being both insider and outsider. Table 4.2 explains my positional evolvement throughout the research process.

Position on the continuum	Advantages	Drawbacks
Same nationality as respondents	Offers the means of achieving in-depth relationships and understanding with respondents. Offers potential access and is less intrusive; and a sense of inclusiveness that allows researcher to be seen as 'one of us' (Hockey, 1993).	Disadvantages are that respondents tailor responses – 'informant's bias'; it might appear hard to ask 'obvious' questions; fear of being over-familiar with the setting and respondents, which could lead to myopia – that is taking things for granted.
Known by respondents	Increases rapport and facilitates access to interesting and important (valid and reliable) data. Encourages 'greater rapport' (Delamont, 1991).	Reticence to give adequate responses; role expectation may limit researcher's flexibility. May impact on the quality of data collected due to over-familiarity. (Hockey, 1993)
Awareness of the culture and climate of location	Lessens the 'cultural shock'. Joy to be able to speak French with respondents. A <i>priori</i> knowledge facilitates conversation in naturally occurring settings. Familiarity with the culture contributes to understanding the potential vulnerability of the respondents. 'In order not to appear naive,	This leads to 'taken for granted assumptions'. Avoidance by the researcher of 'sensitive' areas and issues.

	it may be necessary for interviewer to acknowledge certain realities that are considered to be common knowledge by informants, and phrase their questions accordingly' (Hellowell and Hancock, 2001, p.4).	
Knowledge of the general location of the research	This stance helps a broad understanding of the university and the research location.	However this understanding could be partial for an insider researcher
Knowledge of the world of HE	I fully appreciate the strategic issues faced by the HEIs in the world and the contexts in which strategic leaders operate. It also leads to easy access.	Particular attention is needed to avoid assumptions, as the realities lived in each context vary substantively.
Knowledge of the work of education	Again I am an educator myself empathising with the volatile environment strategic leaders operate in, and the challenges they face.	Caution is needed to avoid over-generalisations, as each case has specific contextual factors impacting on strategic leaders.
The outsider view (not knowing)	'Outsider' research is where I do not have <i>a priori</i> familiarity with the setting and people being researched.	If mistakes are made during the study, you are going to have to live with them afterwards (Robson, 2011 p.44)

Source: adapted from Le Gallais (2006, p.107)

Table 4.2: Insider/outsider advantages and drawbacks in my research process

I will also expand later on in the section concerning access (see p. 103) on the role played by the insider/outsider framework on my gaining access to the politically charged environment.

Interview process: research procedure

On my arrival for my first visit to the main campus of the AU3, the principal secretary of the Rector introduced me to the Rector of the University. A brief overview of the research was communicated and arrangements were put in place to introduce me to the university and the pool of participants. The secretary wrote a letter signed by the Rector allowing me access to the future participants and setting out the objectives of my research (see Appendix 9).

The importance of the letter was that it introduced me to the potential participants, but it also allowed me to walk anywhere on the campus to observe what was going on in each office. This meant two things. First it gave me access to my future respondents and it gave credibility and authority to my research. Second, it was also seen as a passport to access areas I would not otherwise have been able to go to. I thought that in some instances, however, that I could be seen as imposing on or coercing respondents who otherwise might not be willing to participate in the study.

I was offered a pool of potential interviewees from which the sample was selected (see sampling strategy on pp.77–78), although with many respondents, especially the Rector's Council, as a principal target group, there was no choice to be made. I had a flexible choice in selecting heads of school and heads of faculty as the pool was bigger.

I then proceeded to contact the secretary of each potential participant and arranged the meetings. In most cases the meetings were agreed to, but later cancelled with or without warning. In particular, apologies were not offered or any explanation given for the cancellation. I took the initiative to leave a sealed envelope with the study information

sheet explaining the objectives of the interview (Appendix 1); the anonymity and consent form (Appendix 3), and a photocopy of the Rector's introductory letter (Appendix 9) for the interviewees to read prior to the interview day. There were advantages to taking these steps, as it allowed the respondents to come prepared; and permitted them to have an overview of the study. The pitfall unforeseen by me was that two respondents invited their colleagues to attend the interview sessions (see below for steps taken in response to this).

There was at the start of the interviews the initial courtesy of asking if respondents had read the information given to them and whether they agreed to participate in the study, and particular attention was drawn to the consent form which stipulated that they could withdraw from the research at any point without penalty or threat (see Appendix 3). If agreement was reached, the respondent signed two consent forms, one of which they retained and one which I kept.

As mentioned above, in two cases (Rep. 6 and DF. 2) I was thrown in at the deep end, and had to conduct three joint interviews. Rep. 6 invited one of his staff who left at Part 4 Leaders' 'skills/attributes'. My observation notes record that this was 'because he [the staff member] felt uncomfortable to stay in while his boss [Rep. 6] is being asked challenging questions'. Rep. 6 was not comfortable in participating in the research, but did not want to be seen as not allowing access granted by the Rector. So the presence of a member of his staff was perhaps a means of seeking support, I assumed, or to corroborate some of his answers. I was apprehensive about what happened in this setting but the interview proceeded to conclusion as planned.

In the case of DF. 2, he had the secretary general (SG. 2) of the faculty with him, and stated that 'it was ok' to conduct the interview in the SG. 2's presence since he was a colleague and friend, and therefore he could not foresee any negative consequence or impact on the interview process. I drew particular attention to the sensitive nature of Parts 4, 5, and 6 of the interview schedule (see Appendix 4), but DF. 2 was insistent that that was his wish. Learning from the previous experience, I asked if it was okay if the SG. 2 signed a consent form and an agreement was reached. The session was fruitful, as I recorded later in my observation notes. It offered the possibility of double-checking and corroborating answers offered by DF. 2, for instance regarding his formal responsibilities and the strategic issues he faced, and in particular extensive strategic decisions he made, explaining what part the SG. 2 played in them. I had the opportunity to observe the body language of the SG. 2 when he did not necessarily agree with DF. 2 or wanted to elaborate further some aspects of the version presented by DF. 2. The final assessment of this interview was positive, I noted in my observation notes.

On reflecting on the two preceding interviews, I went to do further research on the literature on 'joint interviews' to learn how best to react as researcher in future settings. This proved to be effective. Arksey (1996, p.1) states that:

- Joint interviewing involves one researcher talking to two people together, for the purposes of collecting information about how the pair perceives the same event.
- Data produced from a joint interview is qualitatively different from that obtained in a sole interview.
- The technique has implications for response rates, organisational matters and finance.

- Problems are likely to arise in relation to one respondent dominating the other; there is an underlying risk of provoking friction and disagreement between the interviewees.
- Potential benefits include the generation of more comprehensive data, eliciting shared and/or dissimilar understandings, and giving a voice to those who might otherwise be silent.

My experience did not support the fact that the data collected from a joint interview differs significantly from individual interviews, in particular when using grounded theory as an analytical tool. As it is possible to direct and check answers, it is important for me to be confident and able to tease out and probe when necessary.

As a result of this experience, I organised a joint interview with the respondents S. 1 and S. 2, the representatives of the two staff unions. Though there was underlying domination by S. 1, I was well equipped to attend to the need to balance views on how the staff unions were able to come to agreement on particular issues – e.g. strategic issues, politicisation and political interference at the university, and issues surrounding the leader being elected and the implication for effective leadership (see Chapter 5).

The interview questions were open-ended, seeking to capture real and in-depth meanings of the context and situation under review. These interviews were audio-recorded and transcribed (see Appendix 5).

Documentation as a source of evidence

This was used to collect documentation to create the context narrated in Chapter 2.

Documentary data came from institutional policy documents, university newspapers, and government education policy statements on higher education. The UNESCO and the

World Bank conducted regional studies in Tertiary Education and produced some findings on the AU3. These documents had the advantage of being cheap and quick to access (Payne and Payne, 2004).

The study used the AU3 website (still under construction) to glean information on the schools and faculties selected.

Although some of these documents may contain some bias, they helped to focus on the main issues at hand, that is they helped me to gather information on the publicly held views on the roles and responsibilities of leaders, and set the context for my interviews. These documents had the advantage of setting the context in which policies were made and how these in turn shaped leaders' responses to the questions asked as I presented these factual challenges in Chapter 2.

Selecting documentary sources

Documents are 'any written materials that people leave behind' (Esterberg, 2002, p.121). According to Prior (2003), they can also be seen as an actor in some situations. Moreover, Myers (2009) suggests that documents are 'anything that can be digitalised' (p.154). According to Gottschalk (2006) there are various types of document: contemporary reports, confidential reports, public reports, government reports, and expressions of opinion. Yin (2009) contends that documentation as a source of evidence has the following strengths:

- *stable* – it can be reviewed repeatedly;
- *unobtrusive* – it is not created as a result of a case study;

- *exact* – it contains exact names, references, and details of an event; and
- *broad coverage* – it covers a long span of time, many events, and many settings.

Furthermore, he assumes that documentation as a source of evidence displays the following weaknesses:

- *retrievability* – it can be difficult to find;
- *biased selectivity* – if a collection is incomplete;
- *reporting bias* – it reflects (unknown) bias of author; and
- *access* – it may be deliberately withheld (p.102).

Though there are advantages and weaknesses in using this source of data collection, the main issue confronted by a social researcher adopting documentation as a source of evidence resides in how to select these documents. Scott (1990) suggests that there are four criteria for selecting appropriate documents. These criteria are authenticity, credibility, representativeness, and meaning. He defines them as follows:

- *Authenticity*: is the evidence genuine and of unquestionable origin?
- *Credibility*: is the evidence free from error and distortion?
- *Representativeness*: is the evidence typical of its kind, and if not, is the extent of its untypicality known?
- *Meaning*: is the evidence clear and comprehensive? (pp. 19–35).

Data analysis

Grounded theory

Grounded theory, 'the discovery of theory from data' (Glaser and Strauss, 1967, p.1), aims to generate theory by grounding it in the data. My approach is to 'generate core concepts and develop a theoretical framework that specified their interrelationships' (Parker and Roffey, 1997, p.222).

I use grounded theory as a data analysis tool. Parry (1998), for example, acknowledges that grounded theory is a fruitful direction for researchers, because leadership involves a social process; Rowland and Parry (2009, p.537) state that 'the phenomenological and inductive nature of grounded theory, in contrast to theory-testing nature of most extant leadership research methods, enabled us to integrate the macro-, meso- and micro-aspects of leadership'. They also claim that research based on grounded theory methods incorporates a reflexive approach to data analysis. This reflexive approach assists the interpretation (see Chapter 5 in this study) of situation dynamics through reflecting on behaviour in an iterative way as it is observed. Ken and Parry (2004) contend that the emphasis on the context and process of leadership is reflected most strongly in the methodology of grounded theory, because it focuses on context-embedded meaning derived from multitude perspectives.

In spite of this growing trend, there is no study to my knowledge that uses a grounded theory approach to study the phenomenon of strategic leadership in a majority world country and in particular in the context of HE. My aim here is to present a conceptual representation of the data in the way of 'a set of integrated conceptual hypotheses organised around a core category' (Glaser, 2003, p.2).

The data analysis employed grounded theory as an analytical tool aided by the use of computer software *NVivo 9*. My approach to the qualitative analysis of the interviews

data is called grounded theory 'because of its emphasis on the generation of theory and the data in which that theory is grounded' (Charmaz, 2006, p.3). The aim of the study is to understand the role of SLs in the AU3 in developing and contributing to the success of the institution and in seeking to resolve their challenges (Glaser, 1992).

This section presents the data analysis of the primary. The approach to data analysis emphasises theory generation. In analysing the primary data, I use the 'indicator-concept model', which directs the conceptual coding of a set of empirical indicators. Empirical indicators derived from line-by-line coding (see Table 4.3 on p.96) are data presenting either behavioural actions or events, observed by me, described in documents, or taken from interviews. Indicators are sub-elements of a theme/core category (see Table 4.4, p.97). A compounded number of indicators helps generate emergent concepts. I am not a purist in adopting all the elements of grounded theory, but I do believe that the main themes or core categories are the 'concern of' or 'problem for' the respondents in the setting. They sum up the pattern of what the data is telling us.

Once the conceptual code is generated, then indicators are compared to the emergent concept. Concepts (building blocks of theory: Burns and Burns 2008) are further used to create theory or hypothesis in the interpretation (see Chapter 5).

My coding is grounded in the data. Charmaz (2006) defines coding as a 'means of categorising segment of data with a short name that simultaneously summarises and accounts for each piece of data' (p.43). There are different ways of coding data. For instance, Richards (2008) suggests that there are three ways of coding data: descriptive, topical, and analytical. But Charmaz (2006) further proposes that there are two phases in grounded theory coding: (1) an initial phase involving naming each word, line, or

segment of data followed by (2) a focused, selective phase that uses the most significant or frequent initial codes to sort, synthesise, integrate, and organise large amounts of data (p.47).

Though there are different approaches to coding in the initial phase, for example: word-by-word, incident-to-incident, in *NVivo* codes, and line-by-line coding, I made a conscious decision to select the latter because:

1. All the semi-structured interviews were transcribed in French and it was daunting to translate all these transcriptions back to English before starting the analysis. So as mentioned above, a conscious decision was made to start coding directly the French version line-by-line into English. Glaser (1978) asserts that line-by-line coding means naming each line of the data in the transcription. The coding of interview transcription give ideas and understanding about the fundamental empirical problems or processes relevant in the data.
2. Line-by-line coding has the advantages of avoiding a loss in translation as I am proficient in the two languages (see Table 4:3 below); and it helped me to be open to the data and see the nuances in it; read the implicit concerns as well as the explicit statements in the transcriptions. Moreover, it gives leads to pursue; for instance after my first four interviews, I realised that '*being elected as a leader*' becomes a recurrent problem in the respondents' answers, so I took further steps to investigate it more deeply, e.g. refocusing on this issue (election and its impacts) in later interviews. In particular the line-by-line coding caused me to develop new insights into the issues of '*political interferences and*

politicisation of the university' by further querying issues pertaining to why these happen.

Respondents	Answers	Coding using gerund (line-by line) leading to indicators
Rep. 1	My name is (Rep. 1), I am engineer in the science of engineering, I am here as the Vice Principal (Vice Rector) of academic affairs and professional development. Seen as that, I deal with all the academic issues, from students' enrolment to qualification awards.	Giving his name, Being an engineer. Being the Vice-Rector in charge of Academic Affairs and Professional Insertion Stressing that he deals with many of the issues concerning students' enrolment.
D. 2	Yes, even around this role, which is formal [Director of the School], I am still a teacher, and I do teach. Now the coordination consists of: First, to take charge of the physical and moral resources of the school, because we answer for the question of the school heritage, deal with flux in students' numbers. Second, we are a professional school that means we need to coordinate the teaching activities and the teachers at our disposal.	Acquiescing the job roles Stressing that he still teaches Explaining what job coordination means Acting as the upholder of the physical and moral heritage and endowment of the School Managing student numbers and intake; Being responsible for delivering education and training students Coordinating all teaching activities

Table 4.3: Example of coding line-by-line without losing meaning in translation

The line-by-line coding process helps to capture the meaning of respondents' 'concern for' or 'problem raised' in their interviews. In the process of this coding approach, Glaser (1978) advocates that coding with gerunds helps the researcher to detect

processes and stick to the data; and it gives a strong sense of action and sequence; he furthermore adds that it preserves the fluidity of respondents’ experiences and new ways of looking at them. Gerunds (nouns formed from a verb denoting an action or a state) were used. This helped create a set of indicators (behavioural or events) which were grouped to form themes/categories: see the example in Table 4.4 below.

Behaviours and events indicators	Category/Theme
Defending and protecting students’ interests/staff interests Fighting for better working conditions for staff/students Teaching/researching/supervising Masters/PhD thesis Adminitrating/managing finance; contributing to meetings/forums/committees Representing students; studying Representing staff/teacher/researcher; acting in committees Being civil servant/accountant/secretary; part of the rectorial team Timetabling/organising and monitoring teaching programmes	Perceived multi-tasking:

Table 4.4: Example of creation of category from behaviour indicators

Categories were derived from the second phase of coding i.e. focused coding. According to Glaser (1978) this is more directed, selective, and conceptual. At this point I aggregated the indicators (behavioural and event) into categories which helped to make the most analytic sense: e.g. how respondents ‘identified with their roles, and perceived multi-tasking’.

I then moved the process of the analysis further, by ‘raising categories’ to concepts, meaning subjecting them to further analytic refinement and stressing their relationships with other concepts I created (Charmaz, 2006). These concepts provide interpretive frames and offer an abstract understanding of the relationship. Examples of the concepts created are ‘*elucidation*’, ‘*externalisation*’, and ‘*realisation*’.

Themes /categories	Concepts
Identifying with their roles	Elucidation
Perceived multi-tasking	Externalisation
Perceived complexity of their roles	Realisation
Perceived ambiguities and challenges	Exultation or Extinction

Table 4:5 Raising categories to concepts

There was then a ‘pause’ to this process, because I was submerged by the data. It appeared that though categories were generated, it was nearly impossible to regroup all the behavioural and events indicators in a manner helpful to further the analysis. This process appeared to be lengthy and cumbersome. However, as mentioned by Charmaz (2006), line-by-line coding helped me to fulfil two important criteria of grounded theory analysis: ‘*fit and relevance*’. The inquiry fits the empirical world as I constructed the codes and developed them into categories of roles that crystallised the respondents’ experience (e.g. identification with their roles, perceived complexity, politicisation, etc ... see categories in the next chapter). The inquiry has relevance because the study proposes an analytical framework that interprets what is happening in the AU3 in terms of strategic leadership’s work contribution to the university’s development, by explicitly drawing relationships between how negative cultural patterning and perceived politicisation and political interferences limit the effectiveness of leadership.

Second, I then attended training in *Nvivo* software which proved to be very effective in moving the data in a flexible manner. Transcripts were uploaded in the *NVivo* 9 software. Nodes were created representing places to store data about the concerns of and

problems raised by respondents, or themes (Appendix 7). These nodes helped to gather or 'tag' data sharing similar themes or other characteristics. The added advantages of using *NVivo 9* were that data segments gathered together, the references to them stored in a node. The nodes were created in two ways: first, as the interviews were semi-structured, I knew that part of the data had already been grouped in certain categories, e.g. strategic issues, strategic decision-making processes, stakeholder issues, and formal responsibilities.

In summary, the *NVivo 9* software was used for the following analytical processes:

- the storage and categorisation of interview transcripts (Appendix 5), memos (Appendix 7), and other documents;
- the creation of categories through assisted coding, the logic that links the research questions, the data to be collected, and conclusions to be drawn (Yin, 2009). Others such as Nachmias and Nachmias (1992) argue that design is a plan that 'guides the investigator in the process of collecting, analysing and interpreting observation. *It is a logical model of proof* that allows the researcher to draw inferences concerning causal relations among variables under investigation' (cited in Yin, 2009, p.27);
- conducting searches relevant to analysis, aiming to generate reports;
- moving and linking data as higher order themes emerged; and
- basic hierarchical models of codes (Ken and Parry, 2004).

I now move on to present the research process in terms of the sampling strategy, validity, and reliability.

Research process: validity, reliability, and generalisability

Validity, reliability, and generalisability

Assessing the validity, reliability, and generalisability of a research study is important, as these are the main criteria for evaluating the rigour and relevance of the processes and the outputs/impacts of the research. However, there are very contentious debates around how far these criteria are applicable in qualitative research strategy. For instance, Kirk and Miller (1986) point out that the language of validity and reliability was originally developed for use in quantitative social science, and many procedures have been devised for evaluating different aspects of each.

Easterby-Smith et al. (2004) suggest that there are different perspectives on validity, reliability, and generalisability, as summarised in Table 4.6 below. As I covered the positivist perspective earlier (see pp.67–69), I will not elaborate further on this.

However, according to Easterby-Smith et al. (2004), the main feature of relativism is that the observers have various viewpoints and that what counts as truth demands some consensus between observers.

Table 4.6 below helps to answer the different questions that a researcher could ask to position himself/herself along the continuum of positivist, relativist, and constructionist with regard to validity, reliability, and generalisability. It is important to note that with:

- validity, the concern of a positivist is the operationalisation of concepts into variables that are measurable, while a constructionist focuses on trying to understand the experience of the respondents in relation to their natural settings.

A relativist will seek the best of both worlds, ensuring multiple perspectives.

- reliability, on the other hand, is concerned with the degree to which there is accuracy and consistency in a positivist world, while the constructionist will strive for transparency in how the data makes sense from the perspective of both the researcher and the respondents.

	Positivist	Relativist	Constructionist
Validity	Do the measures correspond closely to reality?	Have a sufficient number of perspectives been included?	Does the study clearly gain access to the experiences of those in the research setting?
Reliability	Will the measure yield the same results on other occasions?	Will similar observations be reached by other observers?	Is there a transparency in how sense was made of the raw data?
Generalisability	To what extent does the study confirm or contradict existing findings in the same field?	What is the probability that patterns observed will be repeated in the general population?	Do the concepts and constructs derived from this study have any relevance to other settings?

Source: adapted from Easterby-Smith et al. (2004)

Table 4.6: Perspectives on validity, reliability, and generalisability

A relativist approach to reliability is seeking multiple acceptances from respondents.

- my approach is constructivist, in particular with generalisation. I have sought to create my concepts from the raw data gathered from my respondents and argue for an analytical generalisation, instead of seeking confirmation or contradiction (positivist) or looking into probable patterns of observation (relativist position). I

modified the framework from Yin (2009) to justify the research evaluation criteria:

Tests	Case study tactics	My justification
Construct validity	Use of multiple sources of evidence Will have interviewees read the draft of findings	Semi-structured interviews Documentation data/ Literature review
External validity	Use theory in single case study	The research design: the researcher to adopt ‘analytic generalisations’ – that is generalising a set of results to some broader theory of the key roles of ‘strategic leadership’ in HEIs
Reliability	Use case study protocol	Interview schedule was submitted to the attention of my EdD supervisor and colleagues for assessment of the instrument and the nature of questions asked. Pilot organised to test both the data collection instrument and the questions (constructs) Ethical approval documentation Seeking supervisor views on drafts

Source: adapted from Yin (2009)

Table 4.7: Case study tactics for validity and reliability

Ethical concerns

Interpretivism and ethics, according to Greener (2011), seek to emphasise the need to protect the least powerful in society, and given their nature in exploring inter-subjectivity, they place a strong emphasis on the need to achieve consent and treat data

in the most careful way possible (p.88). Clegg (1989) calls ethical principles an 'obligatory passage point' through which researchers are required to navigate in order to do their work. In an educational context, Simons (1995, p.436) refers to 'ethics' as 'the search for rules of conduct that enable us to operate defensibly in political contexts in which we have to conduct educational research'. As my findings suggest, the AU3 is a site of political interference and politicisation and the handling of the interviews during a political campaign period was a very sensitive issue. In contrast, Burns and Burns (2008, p.29) define 'ethics' as '*the application of moral principles and/or ethical standards that guide our behaviour in human relationship*'.

In starting this research I sought ethical clearance from the Open University Ethical Committee (see Appendix 8). In addition, I have sought informed consent from and given safeguards to potential participants.

Access issues

Easterby-Smith et al. (2004), in presenting the politics of access to research sites, argued that there are two kinds of access, firstly the formal access, or permission from senior management (in this case it was the Rector) (Appendix 9), to gather data from within the organisation (generally with specific constraints) and secondly the informal process of gaining access to people and documents. I used both approaches i.e. formal and informal in this research (as stated on p.87).

As the weeks passed, and people started to get to know me in the Rector's building, I proceeded to introduce myself and started gleaning information and getting access to documents and questions unanswered elsewhere by an informal approach which Buchanan et al. (1988) call an '*opportunistic approach*'. For example P1 and P2 offered important information on issues concerning human resources management software

which I sought to validate with Rep. 8 (their manager). The importance of this was that it gave me the opportunity to 'obtain co-operation and trust inside the university'.

Easterby-Smith, et al. (2004) call this the 'micro political' insider that enables me to develop a cooperative relationship with each informant. There are implications for these approaches to access as I developed above: though the formal access gave me incontestable access, it was also seen by my potential participants as obligatory participation which I managed to clarify as voluntary. The informal access offered the opportunity to ensure the validity of the answers given to my questions elsewhere and encapsulated different perspectives on the same issues during my observation.

In particular the informal approach proved to be productive in that participants were able to advise me on whom to talk to, and explained why things were not happening (e.g. respondents Rep. 7 and D. 3). There were cases where I could cross-examine, for instance, with D. 3 and DL on issues concerning the Central Library of the university. Yet this could have led to an ethical dilemma as I did not want to 'betray' my sources.

There are implications seen from an insider/outsider framework point of view. Many times I was perceived as an outsider by participants, who might start the interviews timidly and not offer that much data, and who needed further probing before they opened up. On other occasions, however, I was further perceived as an insider who should know what is happening, albeit not in detail. I often saw myself as a 'stranger insider/outsider' and that played on my conflicted values of mixed identity being partly Beninese and (for 15 years now) partly British.

Anonymity, confidentiality, and data protection

In this section, I have tried to demonstrate how far I adhered to the sensitivity of the context by ensuring adequate protection for the participants through following ethical guidelines, a commitment to rigorous procedures in data collecting, and transparency and coherence in the research methods. (See Appendix 3 for the consent form; and Appendix 8 for clearance from the OU Ethical Committee.)

More could be said on ethical issues, but briefly, I switched off the recording instrument from time to time on the request of participants wanting to say something they felt should be off the record; the aim being to protect anonymity or privacy of participants (see Appendix 6).

It is also worth reporting that the sample was not a vulnerable group, as they were above eighteen years old, all in senior positions and well versed in research in their own individual field hence there was no harm to participants' well-being.

Finally, I collected the data during the interviews in the initial pilot under a strain of anxiety because of power leverage, as the participants were world-class researchers, adept at handling face-to-face interviews and at managing interactions with experienced researchers (Easterby-Smith, 2004). Though the beginning was tense, I regained my confidence after the first three interviews.

Conclusion

In this chapter, I started by presenting the pilot study and the lessons learnt from it, which informed the design approach I have taken in the main study. I explained purposeful sampling and the interview process. I then continued by arguing why I

selected an interpretivism paradigm and especially a phenomenologist approach. I posit that phenomenological research is always to question the way we experience the world and how we know the world in which we live. Phenomenology suggests that, if we lay aside, as best we can, the prevailing understandings of those phenomena and revisit our immediate experience of them, possibilities for new meaning emerge for us or we witness at least an authentication and enhancement of the former meaning (Crotty, 1996). The phenomenon under investigation is the concept of strategic leadership. This is seen from a Westerner's point of view, but applied to the context of the AU3. I committed to understanding strategic leadership from the participants' own perspectives, examined how they experienced the world, and what they perceived it to be.

I then derived from this epistemological strand a qualitative research strategy, because my aim is to seek ways in which participants interpret their roles from their own subjective points of view, and the meaning they placed on the contribution they made to the AU3. This strategy was selected because, as I argue in both the literature review and methodology chapters, most of the research in leadership had their preferred approach as quantitative. This approach may not take into account the contextual factors that determined the nature of the role of SLs in the context of the AU3.

A case study design was deemed an appropriate research design because strategic leadership is a new leadership perspective that the literature has confirmed as a growing phenomenon. This addressed many contextual factors such as norms, traditions, cultural heritage, and colonisation. This included how I as researcher interpreted my experiences and thoughts, feelings, and actions during the research process and my thinking relative to the insider/outsider framework.

Semi-structured interviews and documentary data analysis were selected and the data analysis was informed by grounded theory which helped to generate theory from the data.

I finished by examining the issues surrounding the politics of access and ethical practice. I argued that interpretivism and ethics required more than following ethical guidance. It also involves acknowledging the power of the researcher over the less powerful participants. I reflected on the ethical implications for me as a 'stranger insider/outsider' researcher. Issues of consent, anonymity, privacy, and confidentiality were also addressed.

I will now move on to examine the findings and their interpretations with the aim of proposing situated theories in the first instance.

Chapter Five

Findings, Analysis, and Interpretation

This chapter presents the findings of the semi-structured interviews in response to my three research questions and begins to identify and describe the nature and characteristics of SLs in contributing to the development of the AU3. The findings of the semi-structured interviews are summarised in sixteen key themes or core categories derived from indicators (behavioural actions or events, as stated in Chapter 4, pp.96–98). The key themes associated with the three research questions are shown in Table 5.1.

Research Questions	Themes/Categories
In what ways do leaders working at the apex of the AU3 see their roles as strategic?	(1) Identifying with their roles (2) Perceived multi-tasking (3) Perceived complexity of their roles (4) Perceived ambiguities and challenges
In what ways do they interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?	(5) Defining ‘strategy’ and ‘strategic decision’ (6) The unspoken values and beliefs of the AU3 (7) Administrative challenges (8) Who do they perceive as a leader among their possible successors? (9) Being elected as leader (10) Perceived competences and skills needed to do their job as leaders (11) Learning and development needs
What is their own understanding of the contributions they make to developing and improving the university?	(12) Perceived nepotism (13) Perceived corruption (14) Perceived political interferences (15) Perceived politicisation (16) Perceived colonial heritage

Table 5.1: Key themes

In addition, the chapter focuses on the interpretation of the data and the building of theories from the concepts created. Turner (1981) posits that to make concepts ‘emerge’ from data is only the first step and that the researcher still has to construct the *theory*. In doing so, this study uses Glaser and Strauss’s (1967) approach to creating substantive theories, that is the theories created are particular to the substance of the data analysed in this chapter. The major concepts created are listed in the Figure 5.1 below, and I argue that these should be seen on a continuum of ‘low’ to ‘high’.

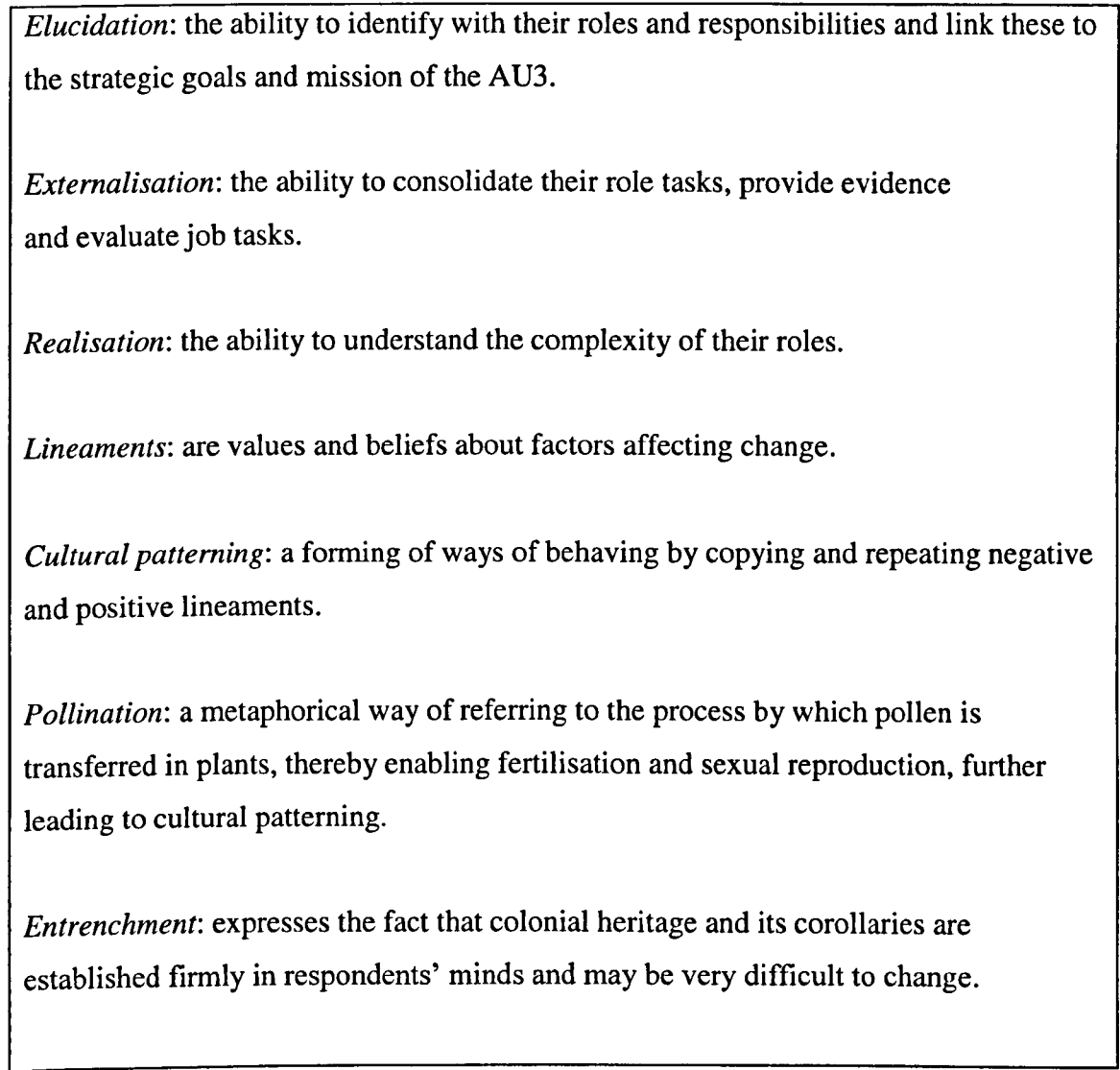


Figure 5.1: Major concepts created

The theories or propositions created are summarised at the end of the analysis and interpretation of each theme.

(1) Identifying with their roles

This theme was derived from aggregating the indicators from the data as shown in Table 5.2 below. Respondents were asked the nature and characteristics of their jobs and to express how these were linked to the strategic goals and mission of the AU3. The key behavioural actions and events indicators derived from the answers are summarised in Table 5.2. These behavioural actions and events indicators were arrived at by the technique described in chapter 4 (Table 4.4, p.97). This applies thereafter to the whole data analysis in this chapter.

Behavioural actions and events indicators	Theme
Having first-line responsibility for the school/faculty Being the Director/Dean/Head of School Being the Head of Department Being in charge of administration and finance Being a Professor/Researcher/Teacher Being the Vice-Rector, Academic and Professional Insertion Being the Vice-Rector of University Research Being the Chief Accountant Being the University’s Secretary General Being students’ union representative/staff unions’ representative Having the academic, political and financial vision of the school/faculty Being at the start and the end of the ‘party’	‘Identifying with their roles’

Being the master thinker, and powerful enough to make decisions	
Being an economist/computer scientist	
Being the ears of the Rector, making information visible to him	
Being a path smoother: it is a game of 'spirit'	

Table 5.2: Theme: Identifying with their roles

Table 5.2 demonstrates that individual respondents have a variety of roles and responsibilities (e.g. being a dean, a director, a researcher, a teacher etc). The respondents said:

I am the first responsible for the School, I am the Director, I am also a Senior Lecturer in Economics (D. 2).

I am the Rep. 1, I am an Engineer, I am twice Doctor in engineering and ex-sciences, I am a full professor; I am in charge of all the enrolment processes, dealing with new and old enrolments. I coordinate all the work done in schools and faculties, briefly in charge of all academic matters beginning with the conceptualisation of curricula to the final awards (Rep. 1).

I am the President of the Federation of Student Union, as such, I defend students' interests and fight to better their living and studying conditions (S. 3).

I am the eyes of the Rector ... I need to ensure that he is aware of what is going on here, sometimes I play the path smoother role, it is a game of 'spirit' ... I need to be alerted so we know what steps or actions to take (Rep. 5).

There is great diversity within the roles and responsibilities of the respondents: I noted that through their formal positions they play a key role either driving the ambition, goals, or strategy of the organisation, or translating that mission to others. For example, respondents stated:

I am the Head of this faculty, in charge of coordinating all academic and pedagogical affairs; I also deal with all administrative and financial matters as delegated by the Rector (D. 2).

I am at the start and at the end of the difficult strategic part (DF.1).

I am powerful enough to make strategic decisions, but it is not often as easy as I am presenting it to you (D. 3).

Furthermore, they play a key role in managing the delivery of activities to meet those goals and objectives, including a range of activities, financial management, raising funds, and people management. For example, one respondent explained:

My roles include managing and resourcing materials and infrastructures within the university. I also deal with energy, water and

environmental issues; there are also the financial management aspects of the job (Rep. 6).

In addition, they also mentioned teaching and research; this was usually a smaller part of their job, but seemed to be important in terms of maintaining credibility with their staff.

For example, respondents explained:

... and if you want colleagues to respect you, you need to do research and that I do; but my teaching responsibilities are relatively limited, in total 50 hours per year (Rep. 2).

Yes, foremost I believe I am a teacher. I don't do that much research, I like teaching, because it is a signal to my colleagues that we must all teach the students and I am also a lawyer so I bring my practice to the teaching of law (DF. 2).

The data supports the argument by Davies (2004), who argues that strategic leadership should have an organisational ability that:

- is strategically oriented, for instance DF. 1 above seems to ascertain that he is at *'the start and at the end of the difficult part of strategy'*. This means that he is at the conception or formulation of the strategy and also sees through its implementation;
- translates strategy into action. D. 2, for example, as a head of faculty, also oversees the coordination of and deals with diverse activities;

- aligns people, resources, organisational goals, and mission. One respondent explained:

I can say that our mission is intrinsically linked to all the university's activities, because we are at the centre of everything that happens here: public relations, infrastructure, equipment, transportation, water and energy mission (D. 3).

- determines effective strategic intervention points. An example here is 'being the path smoother' (Rep. 4), which means knowing when to intervene and change if appropriate;
- develops strategic capabilities; D.3 contends that the delivery of the mission of the AU3 relies on the ability to develop accumulated resources and capabilities.

But this literature (Davies, 2004) claims not to seek how strategic leaders identify themselves with their roles. This study argues that in presenting their formal responsibilities the respondents used their job titles (e.g. 'I am the Director, the Dean, the Head of faculty, the Vice-Rector in charge of ... etc) as shown in the indicators column in the data analysis output (Table 5.2). I call this the concept of '*elucidation of role*'. In this process, it seems that the job title carries a particular importance in judging the status of the person. This elucidation also helps extend the title to functional roles, e.g. administrator, financier, and finally to the academic role enunciated above.

This study suggests that there are a variety of roles played by the same individual. Many roles might be formal or a few informal (e.g. *'helping students on personal life issues'* (D. 3)). This role variety needs to be made explicit, in particular when SLs want to articulate strategic intent, translating strategy into action (Davies, 2003 and 2004).

The concept of 'elucidation' plays another role, by helping the respondents to link their jobs to the core mission, goals, and objectives of the university. This is important as it corresponds to the proposition of Boal and Hooijberg (2001), who posit that SLs who have high cognitive complexity and clear vision will have greater absorptive capacity than leaders who have high cognitive complexity but do not have a clear vision.

The concept of elucidation can help SLs to frame their vision by linking their role to the organisation's strategic goals.

Finally, the concept of 'elucidation' also helps to understand which aspects of their roles or responsibilities might be viewed as pertaining to the strategic realm. For instance, *'being the Chief Accountant'* (Rep. 4) or *'Vice-Rector in charge of university research'* (Rep. 2) might require having a strategic view of all the university's financial issues or an overview of the research activities carried out across the university. Consequently, the ability to develop strategic capabilities is needed to craft 'a plan, a direction, a guide or a course of action into the future' (Mintzberg et al., 2009, p.9).

In conclusion, the concept of 'elucidation' has three important functions: that of role clarification; explicit linkage of an individual's own responsibilities to the university's mission, strategic objectives, and goals; and positioning the role in the strategic realm.

Proposition 1: In identifying themselves with their roles and responsibilities, respondents elucidate their roles and link their responsibilities to the university’s mission by positioning the role in the strategic realm.

(2) Perceived multi-tasking

Participants described their jobs as multi-tasking, dealing with competing tasks while also responding to the long-term strategic objectives of their school, faculty, and positional role. Table 5.3 summarises the key behavioural and events indicators. Each of these behavioural and event indicators stresses how individual respondents expressed the nature of their roles and responsibilities.

Behavioural and events indicators	Theme
Defending and protecting students’ interests/staff interests Fighting for better working conditions for staff/students Teaching/researching/supervising Masters/PhD theses Administrating/managing finance/contributing to meetings, forums, committees Representing students/studying Representing staff/teachers/researchers; acting in committees Being a civil servant/accountant/secretary/part of the rectorial team Timetabling, organising and monitoring teaching programmes Being in charge of student education and promotion of academics in the faculty Conceptualising and managing programmes	‘Perceived multi-tasking’

Table 5.3: Theme: Perceived multi-tasking

Respondents explained how their roles involved a set of competing tasks that need to be discharged. Rep. 4, for instance, sees himself as a civil servant, hence he needs to ensure that public funds are accounted for according to the regulations. In addition he still sees himself as part of the whole rectorial team. Others, D. 1 and Rep. 2, expressed the ways they deal with these competing tasks in terms of ‘juggling’ and ‘stretching’. For instance, respondents explained:

I intervene in all the matters concerning money, research, laboratory work, conferences, salaries for staff, travelling expenses and capital budgeting; I am a civil servant, accordingly in my financial function, I make sure that public money is spent according to the rules, processes set by public authorities to whom I am accountable (Rep. 4).

Around my official role of being the Director of the School, I am still a teacher, I teach. I am the moral and physical guardian responsible for the school, dealing with its assets, heritage and cultural endowments ... and often I juggle with these tasks (D. 1).

I am the Rep. 2; my fundamental remit is to coordinate all the scientific research activities, being accountable for rendering research visible within the University, in Africa and in the world. I have been the Director of the Applied Ecology laboratory since 1994. I am very active in research in applied ecology; ... and I don't need to add that these can be stretching (Rep. 2).

The jobs of the leaders are described as a portfolio of roles with associated tasks to perform at the same time. This situation puts pressure on the time available for long-term planning, as short-term tasks are seen as priority. For example, Rep. 8, who is in charge of the Human Resource Management function of AU3 and a Professor, expressed that:

I would like to do more long-term planning, but between endless meetings, unhappy colleagues, students' strikes, my schedule does not allow for this. I am also a researcher, and I hope you understand what that means [explaining that research demands focus and space to think] (Rep.8).

In such circumstances, this means that a good sense of time management is a good asset for these leaders. As day-to-day operational decisions are made they need to have time to plan for the long term. For example, 'being a student representative and studying for the final year' is seen by (S. 3) as very demanding and constrains the planning of long-term strategy to defend students' poor working conditions.

An important aspect of the way in which these leaders present the multi-tasking theme is a subtle element requiring them to explicitly externalise what they do before one can understand the reality. For example, respondents stated:

... I think just saying this [my roles and duties] makes me think that I do a lot here (Rep. 4).

... and there are many things included in that aspect of the job[being the Head of the School], I could unpack this (D. 1).

My role consists of lots of elements that may not be apparent even to my close colleagues, they may see me out at meetings with different stakeholders, but they may not grasp why and how busy I am juggling competing priorities every day (D. 3).

For me, one needs to master the rules and principles of public finance; you know this entails a good knowledge and understanding of a series of codes and regulations not necessarily known by the Heads of Faculties and Schools. I need to convince them, explaining these rules, principles and regulations (Rep. 4).

These respondents evidently performed multiple tasks which may not be apparent to the casual observer. A respondent's ability to explain fully the activities they carry out, giving outward shape to their tasks, functions, and roles, is one that I have called '*externalisation*'. This is important in an open system (Bertalanffy, 1968) as it helps assess the behaviour of people within a subsystem or system enabling the analysis of tasks and functions and the nature of relationships across the boundaries between subsystems and system.

Boal (2004) claims that strategic leadership develops, focuses, and enables an organisation's structural, human and social capital, and capabilities to meet real-time opportunities and threats. This demands multi-tasking; this study concurs that strategic

leaders have multiple roles. The respondents suggested that they performed multi-tasking.

I hypothesise that the concept externalisation is also a continuum (*low, medium and high*). Respondents' externalisation is considered as high if they are able to consolidate evidence and evaluate their roles and responsibilities in pragmatic and convincing ways. If the reverse is noted then the externalisation is seen as 'low'.

The concept of 'externalisation' plays three important roles in the way the respondents position themselves in the university. First, it plays a consolidation role by confirming the nature of roles. Second, it might help the respondent evidence what they really do to someone outside their context. Third, it may play an evaluative role, that of assessing the portfolio of work done and its weight in contributing to the university's mission.

Proposition 2: The concept of externalisation helps consolidate role tasks, provide evidence, and evaluate job tasks.

(3) Perceived complexity of their roles

In describing their roles, respondents felt that these roles are made up of various interconnected parts: they demonstrate that, for instance, dealing with finances and external partners to find other financial and material resources is a complex role (Rep. 4), and Rep. 2, for example, sees in his capacity that dealing with other university partnerships and collaboration and cooperation are complex too. These indicators are aggregated and raised to the theme of 'perceived complexity' as presented in Table 5.4 below.

Behaviour and events indicators	Theme
Getting involved in research/teaching/administration issues Getting involved in intermittent meetings Dealing with academics and administrative staff Dealing with finances and external partners Dealing with senior government officials and ministers Dealing with unions (students and staff) and never-ending strikes Dealing with other university partnerships/collaborations and inter-university cooperation Finding new funding sources and international donors' timetables Ending old programmes was complex at administration and emotional levels Managing continuity	'Perceived complexity of their roles'

Table 5.4: Theme: Perceived complexity of their roles

The evidence examples below provided by respondents demonstrate that the complexity of their roles also brings a sense of: '*doing lots*' (Rep. 1), '*constraints of meetings as demanding*', '*jostling*' (D. 2) and '*surprise*' (Rep. 2) and '*lived reality of the job*' (DF. 2). For instance, respondents explained:

We do lots of things here: issues concerning academic matters, professional entry into the labour market for our newly qualified students ... I think in particular we try to understand and research which skills and competences are needed on the labour market, therefore this helps us to tailor our curriculum to the needs of employers. It might seem simple, but it is really complex (Rep. 1).

The constraints are meetings, you need to be organised. It is a demanding feature to be at meetings all the time; this impinges on your own planning. It jostles, because these meetings are not always planned and you also have the complex task of satisfying other constraints attached to the job (D. 2).

[Explaining the constraints] Don't do this, don't do that, if not there are going to be a series of strikes, that is complicated by the complex nature of the negotiations with each party[unions] ... no one tells you these difficult components of these jobs till you start (DF. 2).

First, colleagues need to learn how to find, write funding/grant applications for their research; and you know this task of writing grant applications is complex ... I was surprised at how far the gap was, because colleagues are not used to applying for grants (Rep. 2).

Describing these complexities gives essence to the reality lived, for example in dealing with stakeholders at a variety of levels, people issues, and financial issues. For Hambrick (1989), strategic leadership occurs in an environment embedded in ambiguity, complexity, and information overload. Indeed, contingency theorists would argue that the design of decisions in such complexities will depend on the abilities of SLs to cope with the environmental conditions such as changes in information technology and government policies (Mintzberg, 1979). SLs need to develop a cognitive ability to realise what this complexity is made of, to help them to learn, and adapt to change. In effect,

strategic leaders need to have a broad understanding of their environment and what they do to be able to act. The underlying mechanism to produce such cognitive complexity is through the realisation process. Respondents asserted that:

... then you spend time learning the ropes, it is the reality of managing and leading academics (DF. 2).

You know, all these Heads of Departments have the same qualifications as me, they are doctors, professors and to get them to do things I need to use all the tricks in the book, some of them even have more experience than me ... that is the reality of the job (D. 1).

The sense of being surprised and being kept in the dark surfaces in the idea of realisation on the job; that is, SLs become conscious or aware of the complexity of their roles.

Proposition 3: The realisation process helps strategic leaders to understand the complexity of their roles.

(4) Perceived ambiguities and challenges

Table 5.5 below outlines the key behavioural and event indicators that were aggregated to arrive at the theme of ‘perceived ambiguities and challenges’ associated with the strategic issues faced by leaders.

Behavioural and events indicators	Theme
<p>Dealing with/modulating increasing numbers of students</p> <p>Lack of infrastructure: teaching equipment/teaching rooms</p> <p>Lack of sufficient qualified and competent teachers and researchers</p> <p>Lack of library/up-to-date publications</p> <p>Introduction of the LMD/Bachelor Degree–Master–Doctorate curriculum</p> <p>Inconsistent government educational policies</p> <p>Lacking financial resources to repair/build suitable new offices</p> <p>Dealing with strikes</p> <p>Managing academics/dealing with them</p> <p>Managing limited resources with limited choices</p> <p>Dealing with competing interests of stakeholders</p> <p>Computerising information systems and processes to limit routine and lengthy manual work</p> <p>Improving efficiency and effectiveness in the use of resources</p> <p>Dealing with disgruntled stakeholders</p> <p>It is hell!</p> <p>Training and educating the nation’s future ‘elite’ in the economy and administration</p> <p>Daily constraints, daily problems stopping taking steps to strategise</p> <p>Needing time to prioritise; daily work is overwhelming</p> <p>Starting charging tuition/enrolment fees</p> <p>Electrical problems/damage to equipment</p> <p>Juggling!</p> <p>Being civil servants, lecturers, senior lecturers and professors cannot be fired even though it is visible and well known that they are underperforming.</p>	<p>‘Perceived ambiguities and challenges’</p>

Table 5.5: Theme: Perceived ambiguities and challenges

Andrews (1971) argues for the creation of ‘match’ or ‘fit’ between the organisation and its environment, and sees this as a prerequisite for its relative success.

Respondents were asked to talk about the strategic issues they faced. Four main issues were common to respondents:

- lack of infrastructure or inadequacies of the existing one;
- lack of qualified and competent teachers and researchers;
- lack of resources (financial, equipment); and
- a growing student population.

Respondents’ perceived ambiguities and challenges are expressed in terms of ‘not knowing how to deal with investors’, ‘administrative inefficiencies’, ‘adaptation to the new Bologna process’ and ‘lack of students’ accommodation’, as depicted in the evidence examples in the citations below. For example, respondents explained:

We are not at a university, because our libraries are not well-resourced. Libraries are important for knowledge transfer; there is no policy, that is a strong willingness on the part of so-called leaders and investors to develop the library. Investors come, but leave, because our leaders overburden them with administration issues (DL).

There are three main challenges: first, modulating the growing numbers of students; second, equipment problems and third, the

introduction of the Bachelor–Master–Doctorate system which requires a lot of changes to the programmes being delivered (DF. 1).

There are challenges linked to, for instance, students' residence. There are students coming from the north of the country who are confronted with accommodation issues because of a lack of coordination between academic authorities and those who are in charge of accommodation (S. 3).

In the answers given, I noted two types of respondents: those who readily accept the challenges and rejoice in trying to find solutions to these:

... You know, I made the choice to be an academic ... and worked my way to the top, through hard work ... but what I cannot tolerate is to sit back and watch. I am happy with the challenges such as being Rep. 2 in charge of the AU3 research portfolio, and running my laboratory (Rep. 2).

The main users of the university are students, I am not going to sit here, and let the staff and other stakeholders ask them for bribes ... to get their certificate after the completion of their qualification (DF. 1).

... of course it is not always easy to deal with the deans, heads of schools or institutes, they see themselves as professors, who have achieved a lot in their professional careers. But I know, or learn how to deal with them when they burst in my office ... [shouting!], I have

developed the patience and courage to treat them fairly and consistently ... it always ends up in a friendly manner, because I know I am competent in what I do ... account for public money! (Rep. 4).

This group of respondents are exulted. I term this the concept of ‘*exultation*’, characterised by the willingness to find solutions and meaning to the challenges facing them. These respondents want to deal with their realities. For example, understanding why people may not want to get involved in research, the Rep. 2 put in place a mechanism to help people learn how to write grant applications using his laboratory’s work as an example to appeal to his colleagues. Underpinning this concept of ‘*exultation*’ is the need for these leaders to demonstrate their adaptive capacity, i.e. their ability to change (Boal and Hooijberg, 2001; Sporn, 1999) and what Davies (2003) calls ‘*strategic opportunism*’, where leaders position themselves to take significant opportunities as they adapt to new information in a responsive and proactive way.

Next, there are those who exhibit ‘*inaction*’, or a reduction or loss in strength to tackle these challenges. For example, respondents expressed:

The subject at hand, the questions I am obliged to deal with, are in the main the nation’s challenges. Which creates a burden on me; if there are growing student numbers it is not for me to solve, this is the nation’s problem (Rep. 1).

This group of respondents who exhibit inaction appear to be in situations in which their strategic role is inactive. I term this state the concept of ‘*extinction*’ to characterise the

unwillingness to challenge the status quo. For instance, asked what the university’s future is, one respondent stated that:

The future of the university in Benin is hunger and politicisation. The youth do not give me hope, it is sad, sad and I am not convinced either that change will come soon (D. 3).

There is pessimism displayed, which prevents action. This suggests a lack of ‘wisdom’, that is the capacity to take the right action at the right time (Boal and Hooijberg, 2001; Davies, 2004). I contend that there is a link between coming to understand the realities of the job, that is the realisation and exultation in the sense of positive reactions in the face of challenges, and extinction, which is the converse of positive reaction.

Proposition 4: Respondents’ realisation might lead to positive reactions expressed by exultation or negative reactions expressed by extinction.

(5) Defining ‘strategy’ and ‘strategic decision’

Behavioural and events indicators	Themes
Strategy’ being defined as a formal writing document Expressing that strategy making suffers from a lack of time, resources, and human resources; it demands time, it demands humans!! Defining strategy as a disposition towards achieving your vision Seeing strategy as methods and techniques to help you achieve your goals	‘Strategy’

Dealing with resources allocation Dealing with infrastructure realisation Negotiating with stakeholders and management Introducing the Bologna Process of Bachelor–Masters– Doctorate system Strategic decisions happening on the go Dealing with committees’ structures Strategic decisions being difficult and demanding Strategic decisions being secret Meeting the opposition Putting in place social security plan for health insurance for staff Introducing procedure for recognition of contractual staff Dealing with mutualisation of lecture theatres	‘Strategic Decision’
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Table 5.6: Theme: Strategy and strategic decision

The table above is the aggregated behavioural and events indicators that lead to understanding of the themes of ‘strategy’ and ‘strategic decision’. The behavioural and events indicators demonstrated that there were many ways of conceptualising strategy.

Respondents were asked to define the word ‘strategy’. While for some it is a written document outlining the university’s vision, others claimed that there was no deliberate strategy; or that the purpose of strategy design was to support the election campaign. For example, respondents stated:

It is a plan or a programme (S. 2).

Me, I just did one just for my campaign, with the help of a few colleagues who supported me. I put it in my programme, if they want they adhere to it, if not so be it (D. 2).

There is no deliberate strategy ... we do it step by step (DF. 1).

At the university level these decisions are made by CODIR: The Committee of Direction representing Directors of Schools, Heads of Faculties and the rectorial team; but the purpose of this is consultative. The rectorial team makes the decisions (S. 1).

No, the issues I am evoking, even though there are issues I need to deal with, are in reality the nation's issues that create more challenges for me; if there is an increase in student numbers, it is not my making, it is the State's problem, I only find a way to manage it as far as I can (Rep. 1).

Strategic decisions are concerned with two axes: financial and the development of the faculty (DF. 2).

There is no strategy decision or policy concerning the library development (DL).

There is no decision, when people are elected with the help of the government of the day, how do you want them to have vision, strategy?

There is no autonomy of reflection and analysis, therefore no team vision, or if there is one it is truncated (D. 3).

The definitions given by respondents corroborate the way Mintzberg et al. (2009) define strategy. According to these authors strategy could be a plan, a ploy, a pattern, or a position.

This led me to ask for one or two examples of strategic decisions they had made recently. Answers given enumerated issues concerning resources allocation, infrastructure realisation, stakeholder management, and the challenges of introducing the Bachelor degree–Masters–Doctorate system. I observed some cultural patterning components (see below for this concept) in the answers: those strategic decisions are ‘*secret*’ (D. 2), ‘*happened on the go*’ (Rep. 5) and ‘*can be difficult and demanding*’ (Rep. 8).

Respondents with a greater awareness of their job role, that is, those with realisation and exultation seemed to accept a number of things. For example, that strategic decisions are rooted in long-term visioning, that resources invested are irreversible, that they need a good understanding of their environment (micro and macro), that they need to negotiate with a variety of stakeholders, and that they develop a social intelligence (Boal and Hooijberg, 2001). These respondents also seemed to understand their learning and development needs and were prepared to outline steps they were taking to address these: leadership wisdom (Boal and Hooijberg, 2001). They presented tangible outcomes for what they realised in office, what remained to be tackled, and how they wanted to proceed to achieve these. This group of respondents was happy to elucidate, externalise what they do without ‘suspicion’. They displayed an affinity with their environment

(organisational ability, see Davies, 2004), with detailed knowledge of the people they deal with (adaptive and absorptive capacities, see Boal and Hooijberg, 2001). For example, they indicated they are at '*the start and end of the party*' (DF. 1); are '*the master thinker*' (Rep. 1); have an '*academic, a political vision of the faculty*' (DF. 2) and understand '*how a politically neutral view of the leader could win the day*' (D. 2).

These respondents are strategic leaders of the university. Out of 20 interviews conducted over a month and a total of 45 hours, time and again I returned to this respondents' group and they were always happy to answer my queries or point me in the right direction.

Proposition 5: Strategic leadership demands higher elucidation, higher externalisation, and higher realisation.

(6) The unspoken values and beliefs of the AU3

Respondents were asked to describe the values and beliefs that underpin the ways in which strategies are made. The behavioural and events indicators are summarised in Table 5.7 below. It is important to note in this table that key behavioural indicators demonstrate how open the respondents were in answering these questions. There is a desire from certain respondents to make it explicit why some beliefs are difficult to deal with, for instance: '*abuse of power*' (DF. 3), '*lack of honesty*' (Rep. 5), '*paternalist management style*' (Rep. 7), and '*getting promotion on blessing rather than on merit*' (Rep. 6 and S. 3).

Behavioural indicators	Theme
Being lazy Finding short-cuts Cheating Working less and earning a lot Blame culture Lack of honesty Being at the service of users Understanding the ITC culture Abuse of power Hard working, learn to work and develop There were lots of unhappy people here! Justice Paternalist management as opposed to scientific management Need to develop a just way where people would work harder Getting promotion on merit not by blessing Being a civil servant, therefore cannot be sacked by the Rector or school Directors or faculty Deans Gatekeepers being ready to extort money from visitors or students.	‘Unspoken values and beliefs’

Table 5.7: Theme: Unspoken values and beliefs

The indicators in the table above illustrate rather questionable values and beliefs around work ethics. There are examples of such values and behaviours as ‘*being lazy*’ (Rep. 4) ‘*cheating and extorting money*’ (DF. 3), ‘*blame culture*’ (Rep. 6).

Rep. 3 illustrates how students’ tuition fees and enrolment fees are embezzled by administrative staff:

... and these people will pocket students' tuition fees, but the AU3 has a bank account ... we need transparency, it was not easy, we were insulted, but we finally managed to recoup some [money] (Rep. 3).

Whitlock (2003) posited that leadership is the creativity, intuition, emotion, values, and relationships building which are necessary in setting a new direction. Proponents of social intelligence such as Boal and Hooijberg (2001) assert that social intelligence allows leaders to estimate the social capital available to them and allows leaders to establish and enforce norms and achieve trust and reputation. For the respondents, emotions such as seeking justice for the weak, being saddened by poor work ethics (i.e. abusing the poor, cheating, lack of honesty in dealing with users of student services) are features that underpinned the concept I term ‘lineaments’ – these are values and beliefs about factors affecting change. These can have positive or negative impacts on the decisions and actions taken by individuals. For Putnam (1993) negative lineaments might lead to a lack of ‘civic culture’, which is defined as a compound of trust, norms of reciprocity, participation and equality, and of associative life. This, he explains, is the root cause of stagnation, poor governance, and weak state capacity.

Proposition 6: Lineaments are the distinctive shape of the values and beliefs displayed by a respondent. They can be positive or negative.

(7) Administrative challenges

Behavioural and events indicators	Theme
Archaic systems	‘Administrative challenges’
Being inconsistent and ineffective	
Being burdensome	

Lacking continuity Not meeting users' needs Being corrupted Being slow Being disorganised Being costly to its users, in particular students Poor maintenance of documentation and filing systems	
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Table 5.8: Theme: Administrative challenges

The table above presents the key behavioural and events indicators that form the theme of ‘administration challenges’. Administration is described as ‘archaic’, ‘burdensome’, ‘corrupted’, ‘disorganised’. This is illustrated by the quotations from respondents who talk of the inefficiency of administration.

[Describing the gap between the rhetoric and the reality of administration inefficiency] *Africans like to repeat that there is a need for continuity in the administration, but when you go and ask them where is this document on which you are working? You get nothing ... There is a need to have databases; administration must be traceable (Rep. 2).*

There was a fight, because staff documents were not updated. The real problem is that files were not well managed. If you ask for a staff document, I confess it will take an earthquake to have it on your desk on time (Rep. 3).

Computerising the administration will help users. Colleagues need to understand that the first users of this place are students; we need to put in place systems and procedures to help these students to obtain fully the service due at minimum costs (DF. 1).

Sporn (1999) proposes in her theories of adaptation that her case studies showed a growing importance of administration in the form of professionalisation of university management. She suggests that problems between faculty and administration can be mitigated through integrating mechanisms and participatory governance.

Respondents are in agreement that the administration is manifestly 'archaic, burdensome, lacking continuity, ineffective, inconsistent, slow, disorganised, and corrupt'. In real terms, however, nothing much is done by way of corrective action to remedy the situation. This leads to another cultural patterning. This time the blame is laid at others' doors. A willingness to improve things is mostly met with disapproval which can only be a source of despondency. Only a few appear to be pushing the boundaries regardless of the resistance. For instance, DF. 1's response illustrates his desire to see change, using computerised systems.

Such positive impulses, however, are rare and vary from school to school. Baldrige et al. (1977) and Baldrige (1983) acknowledge that professionalism and administrative values are different: the idea is that research on academic culture and professional values shows conflicting subcultures of faculty and administrative staff subunits. They claim that administrative culture assumes power whilst on the other hand professional authority is based on knowledge.

Proposition 7: Perceptions about turning around administrative problems vary. Only a few have an appetite to challenge cultural patterning (see p.149).

(8) Who do they perceive as a ‘leader’ among their possible successors?

Behavioural and events indicators	Theme
<p>Being a leader means visioning, coordinating, being a people person and conciliating</p> <p>Being a leader means the person committing him or herself to the development of the university</p> <p>Being a good listener, supporter, and protector of public money and goods</p> <p>Being technically competent: statistics and ITC</p> <p>Being a leader. [Leadership] is a ‘big word’ in a faculty where you have your ‘hands tied’</p> <p>A Chief who is loved, adored. [Explaining that ironically] Here it is not evident; as ‘you are elected’ they elected you! [then you become a leader]</p> <p>Election being seen as limiting the leadership abilities and competences.</p> <p>Having a top class qualification</p> <p>Being conversant/proficient in the use of ICT</p> <p>Being rigorous and strict</p> <p>‘Render unto Caesar what is due unto Caesar’ – Justice</p>	<p>Perceived as ‘leaders’</p>

Table 5.9: Theme: Who they perceive as leaders among their possible successors

The behavioural and event indicators derived from asking respondents who they see as successors in terms of succession planning offered a variety of definitions of a 'leader'. They said that the key attributes of a leader are: to 'seek justice' (Rep. 7), 'being strict and rigorous' (S. 1) and 'being a people person' (S. 2).

The respondents below give a variety of examples of the nature and attributes of their potential successors:

A 'leader' for me, is someone who is on the edge, who gives the vision, who leads people, who enlightens, who makes things happen , who gives examples. The leader leads people to achieve agreed objectives. If I translate this into my financier function, my objectives are to help the university succeed in its objectives (Rep. 4).

Being a 'leader' is trying to orient people without too much fuss, whatever their level of education, you see, it is not easy. The more educated they are, the more difficult it becomes (D. 2).

The leader is the coordinator, he/she commands, he/she does everything in his/her power to convince people to follow him/her. In this process the method is participative, trying to bring people around to the vision and objectives (D. 1).

You know leadership is a big word in a faculty where you have both your hands and legs tied (DF. 1).

Briefly, there are a certain number of cultural factors of the French coloniser, that makes it very difficult to find very good leaders in Africa in general ... How can a leader influence others, if he/she can't show his/her own strengths, capacities, what makes him/her distinctive so that people want to believe what comes out of his/her mouth ... it is unbelievable, it is a challenge (Rep. 3).

This question was asked to see how respondents project themselves into the future and assess their abilities to externalise, realise, and exult. The most common response was 'someone who can hang on in there'. The respondents want an '*emollient leader*', that is a leader who could make the situation calmer in the hope of keeping relations peaceful. And this is exemplified by responses such as, '*You know leadership is a big word in a faculty where you have your hand and legs tied.*' (DF. 1) and '*... there is a certain number of cultures of the French coloniser, which makes it very difficult to find very good leaders in Africa in general* (Rep. 2). So an emollient leadership is palliative, healing, or assuaging.

Sporn (1999) proposes that committed leadership is an essential element for successful adaptation and that shared governance is also important to implement strategies of adaptation. Goodall (2009) upholds that expert leadership is important for the success of a research-intensive university. It was important to see how current leaders plan for succession.

Proposition 8: When respondents' realisation leads to negative reaction expressed by extinction this engenders '*emollient leader*' cloning.

(9) Being elected as leader

Behavioural and events indicators	Theme
Being elected leader is seen as having advantages Being elected leader is seen as having its limitations Being elected can create political divisions Being elected can be seen as an origin of elitism Being elected is seen as a reason for laxity Being the source of politicisation Being elected can limit the performance of the leader	'Being elected as leader'

Table 5.10: Theme: Being elected as leader

The table outlines the behavioural and event indicators of being elected as leader.

Respondents were all elected with the exception of two positions where the government appointed the incumbents. There are advantages to being elected as well as drawbacks (Table 5.10) since one has an electorate constituency that supports the programme put forward during the campaign. Respondents explain that:

I do not have a term in office; I am appointed by the Government to oversee the continuity of administration (Rep. 3).

The Rector, Vice-Rectors, Head of School, Dean and Vice-Dean are elected by their peers, based on the system that the one to be elected must be the highest qualified in the school or faculty. There is a ministerial decree that governs these elections (S. 1).

They are elected, they have authority, I am their humble servant, but there are some who court me, but you know I have a clear view of my function here ... I am here to make the machine work (Rep. 4).

Being elected restrains your manoeuvres as a leader; you could become very weak if you needed to listen to the constituency who elected you, as you need to have global interest as your vision (DF. 1).

When heads were appointed they depended on the Government of the day; it has its advantages, but when one is elected, it is rare to be dismissed aside from gross misconduct. ... But once elected, people could turn their backs on the constituency's needs (S. 2).

The government has politicised the election; for instance at the last one four millions francs was disbursed to support its candidates; people were threatened ... nepotism and regionalism were exhibited. ... The profile of candidates was not academic but based on regionalism, nepotism (D. 3).

The authentic leadership theory contends that knowing who one is, what one believes and values and then acting upon those beliefs and values (being authentic) positively influences followers' work attitudes and behaviours (Hernandez et al., 2011). The premise of this theory relies on the psychological capacities of the leader: confidence, hope, optimism, and resilience ((Luthans and Avolio, 2003). But respondents suggest that being elected is a source of restraining force and political interference.

The findings illustrate a tendency for an elected leader to develop ideas that lead to an assumption that there was something wrong with being elected as opposed to being appointed by the government. I termed this the concept of ‘*hypochondriac leadership*’ – a metaphorical way of saying that these leaders constantly assume that something is wrong with their approach to performing their roles, or are concerned with the distraction of cultural patterning (p.148) and negative lineaments. Worse, they can use the entrenchment resulting from the perceived colonisation heritage (p.156) to avoid the real surgery needed to heal the wounds. This study claims that once elected, respondents lack the psychological capacities listed above and rely then on learnt lineaments to address issues at hand.

Proposition 9: Cultural patterning (p.149) and negative lineaments are associated with the characteristics of ‘hypochondriac leadership’.

(10) Perceived competences and skills needed to do their job as leaders

Behavioural and events indicators	Theme
Being patient Being a good communicator Having good listening skills Lacking administration skills Fear because one’s hands are tied Having technical competences Being dynamic Being altruistic Having good human relations Learning on the job Challenges of dealing with academics	‘Competences and skills needed as leaders’

<p>Lacking knowledge in financial matters</p> <p>They ‘know it all’. Do they really?</p> <p>Having entrepreneurial skills</p> <p>Having a vision of cooperation between universities</p> <p>Understanding of exchange programme</p> <p>Before the Rectors were appointed by the government, they had no vision of what the university was going to be.</p>	
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Table 5.11: Theme: Competences and skills needed as leaders

Respondents were asked to give examples of skills, attributes, and competences they used to effect changes in their jobs. Respondents with higher elucidation hence higher realisation gave a variety of examples linking outcomes of the change with their skills. These respondents contend that beyond their academic and technical abilities they have developed human interaction skills, dynamism, patience, altruism, and learning on the job (Table 5.11). They claim that they had developed the capacity to absorb the complexity and ambiguity of the job and were able to adjust accordingly.

Respondents also explained how they drew on their technical skills to improve their duties and roles for examples:

I am an economist, and also a computer scientist, so I bring Information Technology Communication competences and skills to the job, and these help to improve the administration aspects of the job. As an economist, I bring my understanding of cost and budget management (DF. 1).

Certain respondents claim that their successes are based on their patience, conciliatory approach, and listening abilities:

I can say I have learnt how to be patient, because the type of guys I have here, you see students and professors and researchers; it is of course a different world. Experience forges you! Let me say, professors, teachers and researchers in HE, these are people who believe they know it all, and are beyond the reach of us, the common human being! But to someone like that, you say, come in! Have a seat, Dean/Head of School/Professor ... Then you take your book and explain to them calmly ... if they have intellectual honesty, then you win the day! (Rep. 4).

The role of the chief in command is to conciliate, know how to diffuse tension in his/her team (S. 3).

Listening to people's views. It is natural to develop the capacity of listening to others' views, trying to understand where people are coming from. ... Develop patience (DF. 2).

These abilities align with both the organisational ability and individual characteristics developed by Davies (2004) and effectively underpin the six key activity areas proposed by Ireland and Hitt (2005):

- establishing the vision and direction of the company, and clearly communicating this vision to everyone involved in the organisation;

- developing core competencies, since it is these, and not their products/services, which will maintain future competitive advantage;
- developing the knowledge and skills of the workforce, recognising that this will be one of the key resources of the organisation in the future;
- maintaining and shaping the organisational culture to provide competitive advantage;
- recognising that moral and ethical obligations are going to be a major factor for organisations in the future; and
- developing organisational controls that encourage employees to be innovative.

By comparison there are respondents who refused to answer, or gave little information. This may partly be due to the ‘suspicion’ culture mentioned above; or the desire that is so ingrained in the cultural patterning (see below) that ‘a chief in command must know it all and should not expose his weaknesses in public’. An example of this is:

I don't have a particular weakness. So I said to you first, that I am an engineer in electricity, do you understand what that entails? I am a doctor in engineering and doctor in applied science, then work up to the highest grade of the university ... The fact is that my competences are far superior to what is required for this position (Rep. 1).

There were other instances where the question was greeted with fury e.g. ‘*why do you want to know the skills and abilities I use to do my job?*’ (Rep. 6). For these respondents, being professors equalled being good leaders. They were good leaders because they had technical abilities. Goodall (2009) calls this ‘*expert leadership*’. I suggest the concept of

‘mirroring leader’ for those respondents who cannot see beyond their technical skills, abilities, and competences in their field.

Proposition 10: Cultural patterning and negative lineaments can lead to ‘mirroring leaders’.

(11) Learning and development needs

Behavioural and events indicators	Theme
Being formal Being informal Seen as not professionally oriented Lacking focus Failing to target deficiencies in skills and abilities	‘Learning and development’

Table 5.12: Theme: Learning and development

Whichever form of training programme leaders attended, formal or informal (Table 5.12), the data supports that certain are conscious about their own development and growth. There are instances, however, where more focused training is needed as S. 1 and Rep. 3 stated:

You know a professor is specialised in his field of enquiry but that does not mean he/she is good at administrative work. So it is recently that training has been organised to train them in administration management (S. 1).

There is a need for all secretaries to be trained, because teachers are not good administrators, one needs to learn it ... (Rep. 3).

The DL as librarian expressed the paramount need for professional skills in this area, but staff want to be recompensed for time spent on training. This means that they see training as not necessarily contributing to their personal growth, or skills development.

Out of 35 workers in the library, only 5 are qualified librarians. If you put on training sessions, participants will ask to be paid to attend the training (DL).

There is also a cultural barrier (more on this later) that hinders the way some leaders think about the training of their staff. Some think that developing staff under them means that they are helping to develop a challenger.

You know we are in a system where people don't like their collaborators to do better than them, so it is difficult to see the growth of people under you emerging (Rep. 6).

This data is in contradiction to what Ireland and Hitt (2005) claim by asserting that developing the knowledge and skills of the workforce, and recognising that this will be one of the key resources of the organisation in the future, is a paramount task of SLs.

Proposition 11: Negative lineaments limit the possibility to train staff and leaders to the best of their abilities.

(12) Perceived nepotism

Behavioural and events indicators	Theme
Not the right person for the job Family/regional links Laissez-faire Favouritism/sentimentalism Not letting go even though one is still not in that post Promoting friends wilfully, not based on their intellectual abilities or capabilities Trying to oppose disciplinary action of a friend or a family connection Desire to create a good system of governance, not a bestowal of patronage based on political or family links or relationships.	'Perceived nepotism'

Table 5.13 Theme: Perceived nepotism

The above table indicates the key behavioural and events indicators which are raised within the theme of 'perceived nepotism', the manifestation of which is in '*promoting friends wilfully*' (D. 3), '*trying to oppose disciplinary action against friends or family members*' (DF. 2) and '*favouritism and sentimentalism in the allocation of resources*' (S. 3).

One respondent believed that trying to help family members find a job could have an adverse impact on the organisation, leaving gross misconduct unpunished, saying:

You know it is a small job here that one found and offered, in general, to in-laws, they disappear with money, and one cannot cry wolf [because of the family ties] (Rep. 1).

Another respondent reporting the case against a poor performer supported by his predecessor exclaimed that:

It is catastrophic! The one who put him there (my predecessor) asked me 'Why? I am the one who put him there; I have heard that you want to dismiss him; sorry, it is not possible'. Then I say: 'I have received lots of complaints, let's go tomorrow and peer-review him.' 'No way!' he replied. And you seem to make matters worse, weeks later he [the poor performer] was promoted to become a head of department, you know now he has his say (DF. 2).

Respondents presenting their answers stress two key manifestations of negative lineaments: perceived nepotism and perceived corruption (pp.147–152).

These findings corroborate the proposition of theorists such as Boone (1994); van de Walle (1994); and Lewis (1996) who contend that Africa's decline or stagnation is due to the fact that African leaders, having inherited artificial policies from colonisation, resort to neo-paternalism strategies to foster their power. These neo-paternalism policies are redistributive in nature, for instance using State resources to pursue their political and personal ambitions and aims of power maximisation, which can lead to nepotism and favouritism.

Perceived nepotism consists of giving preferential treatment or advantages to one's own family members. The data analysis demonstrates that family and regional links carry a lot of weight in selecting people for job positions in the university. Lineaments here are favouritism and sentimentalism: for instance, '*not putting the right person in the right place*' (S.2) because he/she does not come from the same region or family; or '*leaving*

misconduct unpunished’ (D. 3) because he/she is a protégé. Resulting from this is what I call the concept of ‘*cultural patterning*’, that is the forming of ways of behaving by copying and repeating negative lineaments.

Proposition 12: Perceived nepotism encroaches on respondents’ judgements and leads to cultural patterning.

(13) Perceived corruption

Behavioural and events indicators	Theme
Stealing public monies Charging students for service dues Double charging students/disappearing with students’ enrolment fees Being asked by superior to give money Abolishing false costs being charged to students (faculty) Putting rules in place to avoid charging false fees to students Using lies to get money from users Fabricating false invoices and receipts Engineering false financial information	‘Perceived corruption’

Table 5.14: Theme: Perceived corruption

Table 5.14 displays the manifestation of key behavioural and events indicators that form the theme of ‘perceived corruption’. For instance: ‘*charging students for services due*’ (DF. 1), ‘*being asked by superior to give money*’ (D. 3), and

'fabricating false invoices and receipts' (Rep. 8) explain the extent to which corruption is embedded in the AU3 culture.

One respondent explained the instance where he was asked to give money to a superior and he refused, with the consequence of him resigning.

When I was the R. of that university, I was sent a messenger with a suitcase to get money ... I refused ... then I was forced to resign (D. 3).

Others remarked that corruption is a noticeable feature in schools and explained how students are subject to fraudulent behaviours:

You know, these issues (corruption), I say, it is not because it is everywhere that we should continue to allow bad behaviour. You see, corruption, embezzlement are daily features here ... in particular the schools are nests of corruption; they issue false receipts to students and enrol them but when it comes to their (students') graduations, then they are told you did not enrol or were not schooled here, and they (the students) produce their receipts and there is nowhere to trace these back (Rep. 3).

there is a big challenge ... people used to get monies indirectly from students, and I can also imagine with fake notes some of our staff take these enrolment fees and disappear into thin air (Rep. 1).

Perceived corruption consists of stealing, embezzling public funds, and extorting money from students (Table 5.14). It is said to be a common feature everywhere, but with no one really taking appropriate action to eradicate this corruption.

The ultimate manifestation of this perceived corruption can negatively impact on the way respondents see themselves as participating in this moral aberration. This can lead to despondency and to the cultural patterning that is negative lineaments. For example one respondent explained:

I want to say in general, when you talk with your friends, colleagues, they always remind you, 'you will be leaving your post soon, it is three years, are you thinking about yourself? Have you built your house yet?' (DF. 2).

This respondent suggests that friends and personal relations exert pressure on him to take his share [steal money] from the faculty before it is too late, as his tenure is only three years. The negativity has an impact on the way they clone behaviours both in their own immediate colleagues and in future generations:

you see these problems of corruption are a daily feature ... enrolment fees, tuition fees are pocketed ... we say there is the university's bank account, we need transparency, but it is not easy, we are threatened, insulted (Rep. 3).

The theory of ethical leadership claims the demonstration of normatively appropriate conduct through personal actions and interpersonal relationships, and the promotion of

such conduct to followers through two-way communication, reinforcement, and decision making (Brown et al., 2005). The data from this study does not support entirely the view that strategic leaders are able to communicate or provide ethical guidance to followers as they are themselves under pressure from friends to breach this ethical guidance (see Rep. 3 above).

Proposition 13: Perceived corruption also encroaches on respondents’ judgements and leads to cultural patterning.

Perceived political interferences and politicisation of the AU3

These two themes are developed together because of the links between the two.

(14) Political interferences

Behavioural and events indicators	Theme
<p>Academic autonomy – Yes; financial autonomy – No</p> <p>Administrative autonomy — Yes</p> <p>Enrolment to university is free for everybody</p> <p>Policy impact (increasing numbers of students) leads to: inadequacy of teaching rooms, library, equipment</p> <p>Budget: 11 per cent of the educational budget for Universities compared to 60 per cent for primary sector, and 22 per cent for secondary schools</p> <p>Subsidising students’ enrolment fees: should this continue?</p> <p>Not being able to dismiss the teaching staff including researchers because they are civil servants,</p> <p>Seeking the approval of the ministry of work and public administration</p>	<p>‘Perceived political interferences’</p>

Table 5.15: Theme: Perceived political interferences

Table 5.15 outlines the key behavioural and events indicators used within this theme. In particular respondents stressed that the lack of financial autonomy is the reason for the perceived political interferences.

Respondents explained instances where Rectors aligned themselves with the politicians to breach the franchise of the university:

All the Rectors always agree to bring security forces on the campus if any decision is contested. For instance, students’ protests, even the peaceful ones, are met with strongly armed forces (government help for their puppets) (S. 1).

The Centre of Social Services for the university – it is a political decision, the government took the decision and that changed everything within the university. Before it was The National Centre of University Services and this has a strong impact on our lives as students now (S. 3).

(15) Politicisation of the AU3

Behavioural and events indicators	Theme
Not being from the same political party can be detrimental Hours spent on political campaigns (observations) Resentments because of political divergence Limiting academic promotion because of not being of the same political party Limiting effective support to colleagues’ ideas even	

though they are good ones Political favours for creating local committees and offering support Being in the same party, one can get away with murder Showing visible support for political parties on the campus '... the university being seen as a place where politicians try to win students' votes, but do not change their poor and degrading studying environment	'Politicisation'
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Table 5.16: Theme: Politicisation

The issue of political interferences (Table 5.15) and politicisation (Table 5.16) of the university is explained by a number of theorists: resource dependency theory (Assié-Lumumba, 2006) and the critical theorists who uphold the underlying dynamic of power and politics within an organisation (French and Raven, 1959) and the neo-colonialism expressed by Akam and Ducasse (2002) ‘...the pressure from the North institutions on the university’ (p.270).

Respondents agreed that politics has overtaken the business of the university:

Here politics take over the academic nature of our business ... and academic business is characterised by freedom of spirit, expression (D. 2).

The political nature of our administration is that people (colleagues) can say: you did that to me because ‘I am not of the same political party as you’. I am in the opposition and you are in the governing

party ... that is why. When a colleague contradicts you, it is a war, it is low; this state of affairs has damaged our administration ... I think administration should be neutral, at the service of its users (Rep. 3).

Politicians should leave the university in peace, so that it gets on with its mission of educating the nation's elite; conversely, academics should stop running after politicians. Of course this requires independence of thought and courage (D. 3).

There is an outcry about the way politicians manipulate the members of the university governing body, the staff unions, and students union representatives.

On the one hand, although the governing members forming the Rector's Council are elected by their peers (except for two, Rep. 3 and Rep. 4, who are appointed by the government), respondents contend that the elections are truncated and manipulated by the governing party. There is some degree of academic and administrative autonomy but there is no financial autonomy, so the university is dependent on government support. The governing members of the university need to collaborate with the government to secure continued funding. This leads to the concept I have termed as '*paternalism*', an approach or practice of treating the governing members of the university in a fatherly manner especially by providing what they need, without giving them rights or responsibilities. For example, the quote of D. 3 above reflects the nature of these deep-felt interferences.

On the other hand, where the student and staff unions are concerned, because succeeding governments have found a way of either appointing the more vocal union representatives

to higher office positions thus quenching their voices and weakening their movements, or rendering them ineffective in defending their unions' interests. A case in point is the nomination of the powerful staff union representative as director of the third highest position in the HE sector:

I am secretary general of staff union S. 1, I am in School 1, where I deal with external relations matters and I am a professor, but last week I was nominated in my new function as Director of ... OB (S. 1).

Alternatively, they finance the creation of alternative unions, e.g.:

The politicisation of administration, some say he or she is not in the same political party as me, and because he or she is from the opposition party that means we have problems. And you know this has also happened for a long time at the level of staff unions. This has stopped the functioning of the unions on the Campus. But they [the unions] understood it [interferences and financing], this situation of division and manipulation [by the State] could not have helped them to get what their constituencies want so they came together as a confederation of unions to make these changes. You can see today that our salaries and working conditions have improved a great deal (Rep. 1).

I call this the concept of 'pollination' – a metaphorical way of referring to the process by which pollen is transferred in plants, thereby enabling fertilisation and sexual reproduction, further leading to cultural patterning. The point here is that problems are

dealt with in a ‘corrupt way’ (e.g. buying leaders in positions of power rather than dealing with student issues).

Proposition 14: Perceived political interferences and politicisation of the university can lead to paternalism and pollination, which could be detrimental to academic freedom, and cloning leading to negative cultural patterning.

(16) Perceived colonial heritage

Behavioural and events indicators	Theme
Inheriting educational structures that cannot be changed because of fear of being reprimanded Unwillingness of past colonial power to let go International donors aligning behind former colonial power’s desires, to the real detriment of national development needs Finding opportunities to blame even if one can change things – blame culture Introducing policy which does not favour national policy direction Using funding from donors as carrots	‘Perceived colonial heritage’

Table 5.17: Theme: Perceived colonial heritage

Respondents agree that there are lots of former colonial influences deeply rooted in the ways things are done within the university as depicted by the behavioural and events indicators in Table 5.17. They cite the inherited educational structures that are not ‘fit for purpose’ and that cannot be changed for fear of being reprimanded. There is a belief that international donors always align themselves with the former colonial power to the detriment of national development needs. They suggested the existence of a conspiracy theory that the former colonial power stops real change from happening either by

redirecting funding from HEIs to other sectors or by sponsoring educational policies that do not meet the needs of the HE sector . For example, respondents explained:

... because development cannot be imported, development needs to emanate from within the country's human resources; what we inherited from the French system, is that they (the French) opposed the creation of universities in Africa ... according to them, even worse, if universities are needed, it should be the French who come and teach here (S. 2).

... partly the education of the first elite of Africa was aimed at helping to sustain the French administration ... it has never been a question of helping those elites to understand the importance of research, in terms of helping them to understand that research competences could enable them to create their own technologies for the development of their countries (Rep. 2).

This study corroborates the literature on colonisation and post-colonisation (Ager, 2005, Joseph, 1976, and Boone, 1994). These theorists suggest that former colonial power has put everything in place to serve its ambitions and desires, not to see a former colony ridding itself of its influences. These are exemplified in 'privilege relations with former colonies' (Ager, 2005, p.58), the role played in the education system (Joseph, 1976), and the creation of neo-patrimonial policies (Boone, 1994).

Furthermore, this study claims that the realisation of internal, negative cultural patterning, the existence of negative lineaments expressed in values and beliefs, the inadequacies in the administration, the perceived corruption, and the perceived interference of national politicians and politicisation of the university cannot all be thrown at the door of the former colonial power (though some of these lineaments might have been learnt from the coloniser). I call this process of throwing everything at the doors of colonial powers as the concept of '*entrenchment*' to express the fact that colonial heritage and its corollaries are established firmly in respondents' minds and may be very difficult to change.

Proposition 15: The colonial heritage endowments perceived by respondents could be seen as '*entrenchment*'.

In summary, the research contends that there is a pattern amongst those performing at strategic leadership level, which might be associated with a good understanding of their environment, their capacity to elucidate their roles and responsibilities, how they realise the complexity, the ambiguity, and the challenges of their jobs' roles, and the way environmental lineaments are rejected to achieve ultimate strategic goals to advance their school, faculty, or contribution to the university's mission. The study puts forward fifteen propositions:

Proposition 1: In identifying themselves with their roles and responsibilities, respondents elucidate their roles and link their responsibilities to the university's mission by positioning the role in the strategic realm.

Proposition 2: The concept of externalisation helps consolidate role tasks, provides evidence, and evaluates job tasks.

Proposition 3: The realisation process helps strategic leaders to understand the complexity of their roles.

Proposition 4: Respondents' realisation might lead to positive reactions expressed by exultation or negative reactions expressed by extinction.

Proposition 5: Strategic leadership demands higher elucidation, higher externalisation, and higher realisation.

Proposition 6: Lineaments are the distinctive shape of the values and beliefs displayed by a respondent. They can be positive or negative.

Proposition 7: Perceptions about turning around administrative problems vary. Only a few have an appetite to challenge cultural patterning.

Proposition 8: When respondents' realisation leads to negative reaction expressed by extinction this engenders 'emollient leader' cloning.

Proposition 9: Cultural patterning and negative lineaments are associated with the characteristics of 'hypochondriac leadership'.

Proposition 10: Cultural patterning and negative lineaments can lead to 'mirroring leaders'.

Proposition 11: Negative lineaments limit the possibility to train staff and leaders to the best of their abilities.

Proposition 12: Perceived nepotism encroaches on respondents' judgements and leads to cultural patterning.

Proposition 13: Perceived corruption also encroaches on respondents' judgements and leads to cultural patterning.

Proposition 14: Perceived political interferences and politicisation of the university can lead to paternalism and pollination, which could be detrimental to academic freedom, and cloning leading to negative cultural patterning.

Proposition 15: The colonial heritage endowments perceived by respondents could be seen as ‘entrenchment’.

Furthermore, as argued earlier, the concepts created should be seen as a continuum from low to high; it is therefore acceptable to derive the table 5.18 below which relates the concepts to the leadership types proposed in this study.

	Leadership types			
Concepts	Mirroring Leader	Emollient Leader	Hypochondriac Leader	Strategic Leader
Elucidation	Medium	Low	Low as unsure	High
Externalisation	Medium	Low	Low as limited	High
Realisation	Medium	Extinction	Limited	Exultation
Lineaments	Negative	Negative	Negative	Positive
Cultural patterning	Negative	Negative	Neutral	Positive
Pollination	Negative	Negative	Neutral	Positive
Entrenchment	Negative	Negative	Neutral	Positive

Table 5.18: Concepts demonstrating how strategic leaders contribute to their environment

Conclusion

This research proposes that there are three important elements that determine the nature of the contribution of an SL:

1-The individual in the role should be able to provide clarification of what he/she does (*elucidation*), but proceed to *externalise* the components of the tasks performed to

untrained eyes outside the setting. I believe that the ultimate stage of this externalisation leads to the *realisation* that gives him/her the armour to come to withstand the realities lived.

- (a) When respondents' realisation leads to negative reaction expressed by extinction this engenders 'emollient leader' cloning.
- (b) Cultural patterning and negative lineaments are associated with the characteristics of 'hypochondriac leadership'.
- (c) Leaders with higher elucidation, externalisation, realisation, and exultation seem to develop an absorption capacity in performing their roles.
- (d) Cultural patterning and negative lineaments can lead to 'mirroring leaders'.

2-The individual in a leadership role should be able to understand the context in which he/she operates. The context determines how far the individual is able to emerge as an SL. For instance, negative cultural patterning, lineaments, pollination, and paternalism could hinder the ways in which the SL contributes to their environment. This study proposes that:

- (a) Strategic leadership demands higher elucidation, higher externalisation, and higher realisation.
- (b) Strategic leadership has a higher exultation and displays positive lineaments leading to positive cultural patterning.

3-To be an effective leader, realisation that leads to exultation, that is the strong desire to succeed regardless of the negative cultural patterning and lineaments, is a key factor in the successful transformation or adaptation of the school, the faculty, and the university as a whole.

Chapter Six

Discussion and Conclusion

This chapter will use the extant literature to corroborate or refute the propositions made in the previous chapter. In addition, I use the propositions to create a conceptual framework of strategic leadership applicable to a situation where adaptation is needed. I then reflect on the limitations of the present study; and proceed to examine the practical implications of this research to policy makers and conclude with suggestions for further research.

Q1: in what ways do leaders working at the apex of the AU3 see their roles as strategic?

The respondents see their roles as strategic by linking these to the university's long-term strategic goals and objectives. It was important to understand from the perspectives of the respondents how they see these roles as evolving and demanding.

There was a variety of roles and responsibilities elucidated by the participants in the study. There is great diversity within those roles and responsibilities: through their formal positions the respondents play a key role in either driving the ambition, goals, or strategy of the organisation or translating that mission to others. Furthermore, they play a key role in managing the delivery of activities to meet those goals and objectives, including financial management, raising funds, and people management. In addition, they also mentioned teaching and research; this was usually a smaller part of their job, but seemed to be important in terms of maintaining credibility with their staff.

I posit that: in identifying themselves with their roles and responsibilities, respondents elucidate their roles and link their responsibilities to the university's mission by positioning the role in the strategic realm. This proposition seems to concur with the findings of Boal (2004) who suggests that 'Strategic leadership is a series of decisions and activities, both process-oriented and substantive in nature, through which, over time, the past, the present, and the future of the organization coalesce.' (p.1505)

I propose that strategic leadership resides in the '*way*' it is able to elucidate its roles and responsibilities, and in the ability to link these to the mission of the organisation. I also suggest that the translation of decisions needs to be made explicit to other stakeholders who may or may not understand what drives these decisions and activities.

The respondents in the study have multiple activities and make numerous decisions to the best of their knowledge and understanding. Indeed, the process-oriented activities could be reflected in the way they link their roles to the university's strategic objectives. And the substantive nature is expressed in the way their concerns are around programming and delivering sets of tasks and activities to make the organisation meets its purpose. My findings focus more on the concept of elucidation, because it is important to say that this goes far beyond the mere approach to categorising roles as process-oriented and substantive, to demonstrate that in identifying with their job, respondents do three things:

- they elucidate their roles which may not be apparent to people outside their context (e.g. outside HE in a developing country context);
- they link their responsibilities to the university's mission; and

- position their role in the strategic realm.

I believe that through this concept (elucidation), respondents seem to delineate a territory of importance and a 'positional role', a strategic role that encapsulates the ambiguities associated with their roles.

Yet, the elucidation also leads to externalisation, and *this externalisation might help consolidate role tasks, and evidence and evaluate job tasks*. Studies such as that by Davies (2004), who suggests that strategic leadership should develop an 'organisational ability' that is to: (a) be strategically oriented, (b) translate strategy into action, (c) align people and organisations, (d) determine effective strategic intervention points and (e) develop strategic capabilities, do not necessarily focus on the elements of externalisation posited in this study. It is possible that through externalisation, SLs are able to communicate this strategic orientation: 'strategic leadership develops, focuses, and enables an organization's structural, human, and social capital and capabilities to meet real time opportunities and threat' (Boal, 2004, p.150).

This study claims that respondents with higher externalisation ability seem to have higher realisation capacity, therefore seem to understand their job challenges and ambiguities. The concept of realisation may offer another explanation of how far those at the apex of the organisation understand their role as strategic. It is the process which explains how respondents measure and live the realities of their job. For instance, when a respondent answered 'I do a lot here; no one tells you these difficult components of these jobs till you start' (DF. 2), we have a sense of the realisation of the difficulty of the job. There seems to be a need for understanding what is acceptable and what is not in the job that leads an individual to be effective.

The realisation process helps respondents to get under the skin of their job roles and responsibilities. It helps to understand the job's challenges and ambiguities. Most of the respondents appear to accept the constant need to understand internal and external organisational environments: organisational ability according to Davies (2004).

Internally, respondents are faced with a lack of or inadequate infrastructure, a lack of qualified and competent teaching and research staff, a lack of resources (finance and equipment); and a growing number of student numbers. These environmental challenges seem to concur with Mintzberg et al. (2009), who argue that strategy formation in such a context is a reactive process in which the initiative lies not inside the organisation, but in the external environment. Others such as Andrews (1971) argue for the creation of a 'match' or 'fit' between the organisation and its environment as a prerequisite for its relative success. The essence of his work is rooted in earlier versions of work which sees strategy as 'organisational fit' (Barnard, 1938; Chandler, 1962), where strategy is an integration of organisational functions. But this study posits that the realisation concept is intrinsic to the way SLs appreciate what is happening both in their job roles and in the environment.

Externally, there appears to be pronounced state intervention in the university. The state as the key stakeholder is concerned with the need to place the university in the global sphere and meet the demands of international and regional institutions to deliver better academic standards. The respondents explained the need for adaptation to these environmental changes. These findings concur with Hambrick (1989), who argues that strategic leadership occurs in an environment embedded in ambiguity, complexity, and information overload. Further, there appears to be the need for the creation of a 'match' or a 'fit' between the faculty or school and their environments as to the desire for success (Andrews, 1971). For example, there seems to be a strong desire to modulate the

flux of student numbers to match the teaching rooms' capacities through a process of mutualisation of lecture theatres. The study demonstrates that many respondents seem to come to a halt when presenting the challenges they faced e.g. '*it is the nation's problems that put a burden on me*'. I think that there is an inability to match the entities' resources and capabilities to the opportunities in the external environment.

This study contends that the ways in which people working at the apex of the AU3 see their roles as strategic is based on the ways in which they are able to elucidate, externalise, and realise what they do. As mentioned elsewhere, Hambrick (2007) proposes that 'if we want to understand why organisations do the things they do, or why they perform the way they do, we must consider the biases and dispositions of their most powerful actors – top executives' (p.334). For me, this understanding is fundamental to what Boal and Hooijberg (2001) claimed, that (a) strategic leadership may need to develop a cognitive complexity, that is the ability to scan and interpret environmental information – it seems to me that this is important when SLs are elucidating their roles and responsibilities; and (b) may need to develop social intelligence – that is the ability to apply one's interpersonal skills (empathy, motivation, and communication) to discern others' emotional needs. This study found that through externalisation and realisation strategic leadership may become more aware of the demands and constraints placed on them and others. Hence they should empathise with others.

Conclusion 1:

Strategic leadership demands higher elucidation, higher externalisation, and higher realisation.

Q2: In what ways do the leaders interpret their decision-making abilities in relation to the concept of strategic leadership and its appropriateness in their context?

The way decision making happens

In examining how strategic decisions are made; I sought to understand the values and beliefs underpinning those decisions. Mintzberg et al. (2009) contend that the design school of strategy, in particular that which is concerned with culture, emphasises the need for collectivity and cooperation in the organisation, and that culture is essentially composed of interpretations of a world and activities and artefacts that reflect these (p.277). My findings appear to corroborate this, as I posit that there are ‘lineaments’ which are the distinctive shapes of values and beliefs that the respondents display in their decision making that impact positively or negatively on the AU3. Furthermore, these lineaments lead to what I call ‘cultural patterning’. This study suggests that ‘lineaments’ could include features such as favouritism and sentimentalism, for example, ‘*not putting the right person in the right place*’ (D 3) because he/she is not from the same region or family; or ‘*leaving misconduct unpunished*’ (DF. 2) because he/she is a protégé. So the values ingrained in favouritism and sentimentalism may often not help to create a fertile ground to develop sound decisions in a rational way.

In contrast to previous studies, I expand my understanding of these lineaments by trying to understand the mechanisms by which these manifest themselves. The study proposes that the cultural patterning may happen through *pollination*, which is the transmission of negative or positive values or beliefs to subordinates or colleagues. So the way cultural patterning is transmitted may be through pollination. Resulting from this is the forming of ways of behaving by copying and repeating negative or positive lineaments. The proposition advanced in this study is that: *Lineaments are the distinctive shape of the*

values and beliefs displayed by a respondent. They could be positive or negative and may affect the way decisions are made.

Conclusion 2

a) It is possible to isolate the identified lineaments and, in particular, strengthen the positive ones and find ways of dampening or eradicating the negative ones.

b) Strategic leadership has a higher level of exultation and displays positive lineaments leading to positive cultural patterning.

The way the context shapes decisions

Johns (2006) defined 'context' as being 'situational opportunities and constraints that affect the occurrence and meaning of organisational behaviour as well as functional relationships' (p.386) and Mowday and Sutton (1993) as 'stimuli and phenomena that surround and exist in the environment external to the individual, most often at a different level of analysis' (p.198). This study concurs that there are situational constraints such as nepotism, political interferences and politicisation of the university, a culture of paternalism, and corruption that all enhance negative cultural patterning. These could also be seen as stimuli that create the context in which SLs operate and make decisions. I suggest that the way in which these stimuli or situational opportunities and constraints manifest themselves in this context is rather acute and appears to echo Osborn et al. (2002), who contend that 'leadership and its effectiveness, in large part is dependent upon context' and 'Change the context and leadership changes' (p.797). They believe that 'leadership is embedded in context, and it is socially constructed in and from a context where patterns over time must be considered and where history matters' (p.798).

This study, though, claims that the manifestation of the contextual characteristics accentuate the cultural patterning, possibly affecting the way judgements and decisions are made: *The perceived political interferences and politicisation of the university may lead to paternalism and pollination, which could be detrimental to academic freedom, and cloning leading to negative cultural patterning.*

Perceived nepotism and corruption encroach on respondents' judgements and lead to cultural patterning.

Conclusion 3:

It may be possible through legislation to reduce the abuse of nepotism and corruption. The AU3 seems to be a political playground, but it may be possible through education and support to limit the excessive political interference and political positioning.

The ways colonial heritage and culture impact on the context and decision making

I contend that colonial heritage has had a lasting impact on the way both the AU3 educational context is set and decisions are made. Assié-Lumumba (2006) presents this in terms of *dependency*. Others such as Joseph (1976, p.10) stress the importance of France's role in education: 'entire university and secondary school systems were supplied, from physical plant to details of curricula, examination systems, teaching materials and personnel regulation'. He concludes that 'French educational models have become more entrenched during the expansion of the African Educational systems since independence'. These entrenched structures in the shape of language and the educational system may have alienated educated AU3 leaders. This study concurs with these propositions and remarks that colonial heritage plays two other important roles:

First, the respondents who understand, externalise, and realise the alienation of colonisation seem to want to think positively. But others appear to dwell in the past and blame every problem on the colonial past. It appears, therefore, that *the colonial heritage endowments perceived by respondents could be perceived as 'entrenchment'*.

Second, the study agrees with Englebert (2000) that entrenchment in the past may lead to a lack of civic culture.

Civic culture is a compound of trust, norms of reciprocity, participation and equality, and of associative life. According to this theory, Africa's stagnation, poor governance, and weak state capacity derive from low levels of civic culture and social capital: vertical patron–client relations prevent effective political participation (leading to the politicisation of the university) and equality; the weight of tradition stifles the emergence of associate life, and strong ethnic identities prevent the spread of trust in society (leading to nepotism) (Englebert, 2000, p.9).

Theorists such as Boone (1994), van de Walle (1994) and Lewis (1996) contend that Africa's decline or stagnation is due to the fact that African leaders, having inherited artificial policies from colonialism, resort to neo-patrimonial strategies to foster their power and prevent the dislocation of their peasant societies. These neo-patrimonial policies, essentially redistributive in nature, use the resources of the state to pursue their political and personal ambitions and aims of power maximisation (leading to nepotism and favouritism). It is indeed in these contexts that African leaders maintain their power.

Two citations from respondents could corroborate the extent to which the current leaders lost self-confidence and assertiveness to face this past:

... because development cannot be imported, development needs to emanate from within the country's human resources; what we inherited from the French system, is that they (the French) opposed the creation of universities in Africa ... according to them, even worse, if universities are needed, it should be the French who come and teach here (S. 2).

... partly the education of the first elite of Africa was aimed at helping to sustain the French administration ... it has never been a question of helping that elite to understand the importance of research, in terms of helping them to understand that research competences could enable them to create their own technologies for the development of their countries (Rep. 2).

It is my contention that the current leaders need to develop what Boal and Hooijberg (2001) call 'the capacity to learn, the capacity to change and managerial wisdom' (p.515), which could help assess the current situation and move into the future.

Conclusion 4:

Leaders with higher elucidation, externalisation, realisation, and exultation seem to develop an absorption capacity in performing their roles.

Q3: What is their own understanding of the contributions they make to developing and improving the university?

Contrary to other studies of educational leadership, this study posits that there are four types of leader, which are:

The ‘Mirroring Leader’, who cannot see beyond their current abilities, skills, and capabilities. They present their academic credentials rather than focus on a higher order;

The ‘Emollient Leader’, who tries to keep the situation calm in the hope of keeping relations peaceful;

The ‘Hypochondriac Leader’, who worries about the state of being a leader and worries that something is wrong with them; and

The Strategic Leader, who strives to achieve the organisational goals despite the contextual challenges.

The current study claims that:

(a) When respondents’ realisation leads to negative reaction expressed by extinction this engenders ‘emollient leader’ cloning.

(b) Cultural patterning and negative lineaments are associated with the characteristics of ‘hypochondriac leadership’;

(c) Cultural patterning and negative lineaments may lead someone to become a 'mirroring leader', and

d) Strategic leaders are those with higher elucidation, externalisation, and realisation.

It seems to me that these four forms of leadership may be considered as speculative. One would need further empirical evidence to be able to isolate the key characteristics of each type of leadership. While the study has been able to make claims about the context in which these types of leadership occur, it may be possible, for instance, to question if strategic leadership could be emollient, mirroring, and hypochondriac.

Conceptual framework

I started this study by suggesting that it would follow the conceptual framework depicted in Figure 3.3. This conceptual framework posits that for the university to adapt effectively to its environments, it is necessary to understand these environments; and that the role of strategic leaders depends primarily on his or her organisational ability and individual characteristics. This role could be positional or processual by nature, or task or patterns oriented.

Furthermore the individual's ability to understand their individual formal role plays a critical part in helping to align their role with the organisational vision and mission. In turn this should enhance the decision-making processes that should lead to effectiveness and improvement.

Indeed, this conceptual framework has helped me to both frame my literature and analyse my data. My theory is still in agreement with this framework, but I would suggest expanding it in line with the propositions and the concepts created as part of this study.

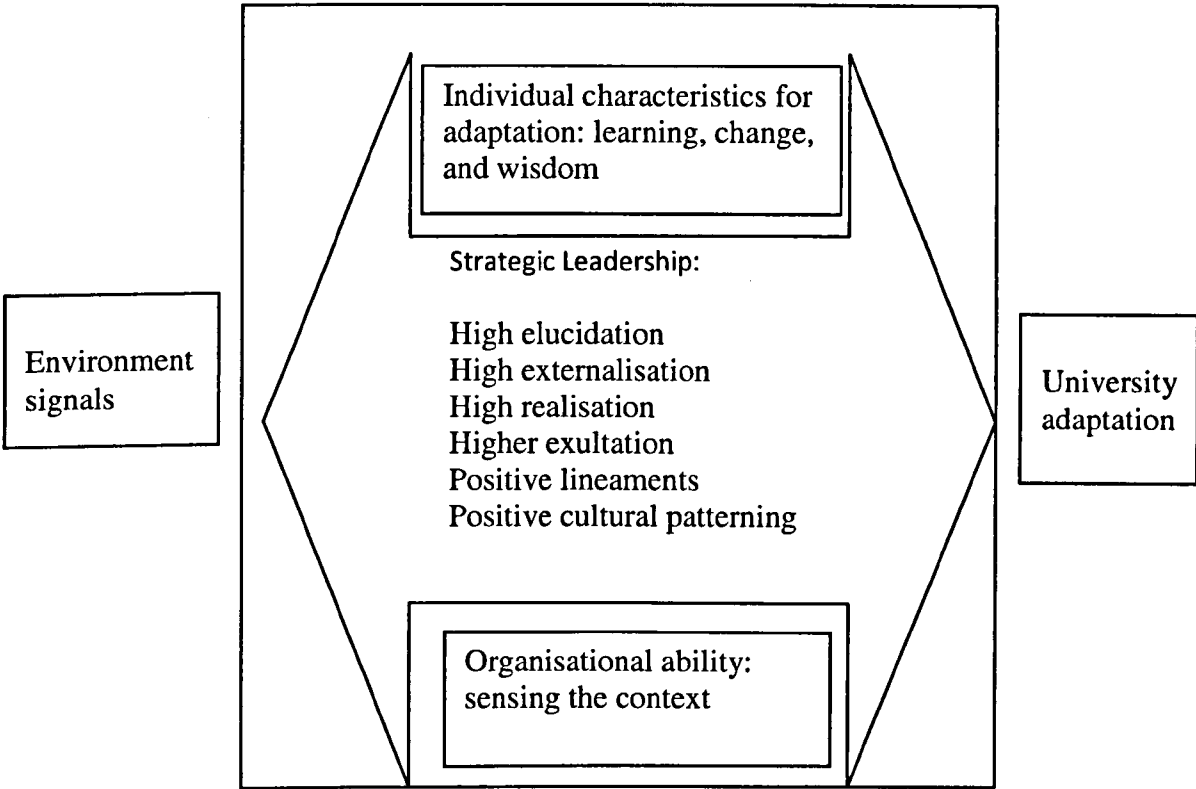


Figure 6:1: The strategic leadership framework in the context of the AU3: developing insights for adaptation

I argue therefore that the framework proposed concurs with the idea of seeing organisations as an open system Stacey (2007), where the system is used to provide a good understanding of the relationship between (a) the technical and social aspects of the organisation; (b) the part and the whole; and (c) the whole organisation and the environment. Furthermore, the framework accords with the contingency theory (Mintzberg, 1979), in that the adaptation of the organisation is contingent on its environment and the nature of the SLs who lead it. The better SLs understand the resources (resource dependency theory, Assiè-Lumumba, 2006), environments, and the

different power structures in the system, the easier it becomes for SLs to achieve success.

Limitations of this study

Methodological limitations

I started this study by arguing that due to the long tradition of connection with social psychology, most research on leadership is done from positivist and objectivist perspectives and that the preferred research designs used are the experimental methods. This led me to select an interpretivist/constructivist approach for the study. The argument for quantitative studies in general, however, rests on the claim that they are value-free, and that the researcher remains independent of the phenomenon under investigation.

It seems to me that my methodological choices cannot be seen as value-free. For example, I believe that knowledge is co-created by the researcher and the respondents and this has influenced my selection of data collection instruments, the data analysis tools (grounded theory), and the selection and the framing of my concepts. There are undoubtedly value-free judgements in some of the ways in which I framed my propositions and theories. Nevertheless, my propositions are grounded in data.

During my research process (pp.87-90), I have had to address the issues around joint interviews, the literature for which I was not aware of, and had to adapt my research and interview techniques to be able to complete the data collection.

The data analysis process also proved challenging – it was a daunting exercise to translate 20 interviews from French to English without losing vital information, but again the task of coding line by line from French to English provided a salutary lesson. The data analysis instrument *Nvivo* 9 was also not without its problems, though in combination with the coding strategy it does seem to have produced appropriate outcomes.

Generalisation (external validity)

This study was conducted within one university, an organisation that was created initially to serve the former colonial power with all its intricacies. It was not my aim to seek external validity, but rather to generate a set of theories that could be tested in similar contexts and in places where these theories may have resonance and relevance. It is analytical generalisation (Yin, 1994) which denotes a process that refers to the generalisation from empirical observation to theory, rather than a population.

The challenge that exists between interpretivism and generalisation seems to be harsh, but Williams (2000) suggests the adoption of *moderatum generalisation*. The aim of this study was to understand how respondents interpreted, made sense of, or gave meaning to actions according to their subjective frame of reference on the concept of strategic leadership. I do believe, however, that the theories generated from this data could be further extended to similar contexts (i.e. other universities in former French colonies). These theories could be tested as analytical tools in developing and developed countries alike.

Also, because the literature used in this thesis is on balance Western loaded, I should suggest that Western values have played a part to the extent that one could generalise in

a specific context that, for instance: *Strategic leadership demands higher elucidation, higher externalisation, and higher realisation*; that it is using the micro-detail of a small part of society to picture that wider society (Geertz, 1979; Williams, 2000).

The findings offer an extension of understanding and knowledge, and detailed descriptions of the phenomenon of strategic leadership and how its contribution appears to be subjective to delicate contexts. The conceptual framework created above (Figure 3.3, p.59) may enable others to understand similar contexts and extend and test these theories in subsequent research.

Internal validity

As mentioned in the methodology chapter, internal validity was given particular attention during the processes of data collection and analysis. Threats to internal validity included:

(a) participants' attrition: this occurred when participants systematically dropped out during the investigation. It was not possible during the fieldwork for me to interview the Rector of the University. He was heavily involved in the presidential election campaign. I interviewed his Director of Cabinet instead;

(b) respondents' effects: these appeared when participants, to my surprise, as a result of the experimental situation of the interview, demanded a joint interview. That meant that I needed to adjust to this change;

(c) history: incidents and events that occurred during the research and affected the results. In retrospect the timing of this research was not ideal because of the election

campaign. As I mentioned in the methodology chapter, a few of my respondents were reluctant to give out too much information, because I was seen initially as a government spy. Later they appeared to volunteer readily once they understood the objectives of my research. Thus most participants supported and recognised the need of such research;

(d) maturity: it is possible to say that changes in participants happened over time and enhanced the study by creating increased objectivity and understanding among participants of their contributions and of the inner dynamics, process, and impact.

Time and resources

I would have liked to investigate further some aspects of the study: particular cultural traits, for instance, that led some respondents to be emollient, hypochondriac, or mirroring leaders. But the limitations in allocated time to collect the data and a full-time workload have made this impossible. There is also the constraint of the word count maximum.

The dearth of literature on strategic leadership research in Africa is another impediment to this research. I hope that this study will be taken further to explore the nature of strategic leadership in the context of other public and private enterprises in the country which hosted this research.

Implications for policy makers and professional practice

Changing organisational and society cultures is not a simple or short-term process. To create and support more 'strategic' leadership in AU3 would take a mix of actions over a period of time. For instance, the use of support and education, legislation, and change

programmes for behaviours and attitudes. Further research and thought would have to be given to the best way to combine the recommendations that are given below.

Conclusion 1:

Strategic leadership demands higher elucidation, higher externalisation, and higher realisation.

Implication 1:

For policymakers it seems that there is a window of opportunity to understand that through the mechanism of drafting appropriate policy documents concerning the competences and abilities that leaders need it is possible to select candidates who are best suited to hold the top jobs in HEIs. As mentioned previously, it seems that it is possible to recruit and select candidates for strategic leadership positions by paying attention to their abilities and competences to elucidate, externalise currently their views on what the job entails, and later put in place mechanisms to assess the realisation abilities which may help them grow in the job.

Conclusion 2:

a) It may be possible to isolate lineaments, in particular to strengthen the positive ones and find ways of weakening the negative ones.

b) Strategic leadership has a higher exultation and displays positive lineaments leading to positive cultural patterning.

Implication 2:

These particular aspects of the study concern the lineaments, which may demand that SLs consider practical ways of addressing the removal of negative lineaments. I suggest, for instance, a review of employment law that might make it possible to hire appropriately and fire employees who are guilty of gross misconduct such as money embezzlement or corruption. A review of performance management systems may also help to foster good behaviour in these contexts.

Conclusion 3:

It may be possible through legislation to reduce the abuse of nepotism and corruption. The university seems to be a political playground, but it may be possible through education and support to limit the excessive political interference and political positioning.

Implication 3:

Corruption and nepotism are embedded within the cultural and historical practices and beliefs, and it is difficult to eradicate them totally without appropriate legislation and education. Mechanisms are also needed to support people both at the apex of the organisation and at lower levels. The study also suggests that it is possible to eradicate these problems when SLs see it as an important aspect of their duties and responsibilities to lead an ethical workforce.

There is a need to put in place criteria in the election manifesto that candidates exercising the role of strategic leadership in HEIs need to stay as neutral as they can to be able to channel the energy of all the stakeholders of the institutions, rather than exhibiting strong links with the governing party.

Conclusion 4:

Leaders with higher elucidation, externalisation, realisation, and exultation seem to develop an absorption capacity in performing their roles.

Implication 4:

The study suggests that there are good candidates for strategic leadership, but the lack of critical mass (statistically) limits the visible action of these SLs. It may be possible to identify these SLs and engage them in a form of peer mentoring or coaching.

Further research

Research on strategic leadership is an under-studied phenomenon in the West (Gardner et al. 2010) and practically non-existent in the country under study. There are a number of possible reasons, for this, especially the fact that for a long time this country was colonised and that after independence it did not have any effective democratic institutions till the 1990s. Researching such issues was practically impossible in the past, and today it is rare.

I have identified three possible reasons for this:

- (a) When respondents' realisation leads to negative reaction expressed by extinction this engenders 'emollient leader' cloning.
- (b) Cultural patterning and negative lineaments are associated with the characteristics of 'hypochondriac leadership'.
- (c) Cultural patterning and negative lineaments may result in a 'mirroring leader'.

Emollient leaders

This study looked at the relevance and resonance of the concept of strategic leadership in the AU3. Further research is recommended to support these types of leaders to regain their position of SL. What engenders the negative reaction expressed in terms of extinction? Why do they only want to do the minimum and keep the peace when there are so many changes needed to develop their organisation? Are there any learning and development gaps that could help these leaders?

Hypochondriac leaders

In trying to associate negative lineaments and cultural patterning, it was noted that the fact that leaders were elected seemed to create an unsettled context for discharging their function. They were too concerned about their constituency and what they might think about them. I suggest further examination of how negative cultural patterning and lineaments impact on the frame of reference of this type of leader. These research questions may be worthwhile exploring: Why are these leaders concerned with being elected? Are there any constraints from the electorate that stop them acting as effective leaders? Are there any signals in the external and internal environments that could

facilitate the tasks or lessen the worries of these leaders? In which ways can coaching and mentoring, for instance, help these leaders?

Mirroring leaders

This type of leader – the ‘expert’ leader – associates their role strongly with their academic credentials. Further research is needed to understand how support and facilitation may help to fully absorb the strategic aspects of their organisational roles in the context where negative lineaments and negative cultural patterning weaken the culture of progressive citizenship. One could possibly look into the following aspects. What are the psychological impediments stopping these leaders from seeing beyond these negative lineaments and cultural patterning? In what ways could training and development help these leaders to understand that their roles involve dealing with the ambiguities and complexities in their organisation?

Conclusion

In this chapter I discussed the findings of this study in relation to the extant literature. The findings suggest that the phenomenon of strategic leadership is under-investigated in the HEIs in Benin, but it is possible to claim that the findings could have relevance and resonance in similar contexts. The proposed conceptual framework offers an interesting conceptualisation of strategic leadership that to my knowledge no other theorist has so far contemplated.

Beyond the initial speculative idea that strategic leadership is a complex phenomenon to examine in the context where historical events could be seen as distorting current

realities, it appears to me that the lack of understanding of strategic leadership could have a serious detrimental impact on the HEIs in the study.

As with any such study, which took three years to complete, there are thoughts of ensuring that the findings are robust enough and well-grounded in rigorous methodology and research methods. Of course there are lessons learnt and adjustments made. Standards must be adhered to, for example, by limiting threats to internal validity and taking appropriate steps to ensure reliability (e.g. that the research processes are outlined with clarity and objectivity).

The main message from this research is that it is possible to suggest that the individual in the role of strategic leadership should understand the context in which he or she operates. The context determines how far individuals are able to emerge as SLs. For instance, negative cultural patterning, lineaments, pollination, and paternalism could hinder the ways in which SLs contribute to their environment. In this research I proposed that:

- Strategic leadership demands higher elucidation, higher externalisation, and higher realisation; and
- Strategic leadership has a higher exultation and displays positive lineaments leading to positive cultural patterning.

These led me to make key recommendations as how one could translate these into practice and make changes to both the individual in the role of strategic leadership and to the contexts in which these SLs operate.

Chapter Seven

Reflection

Boud et al. (1985) argue that through reflection we are able to learn from our practical experiences and develop our own theories about the way the world works. They propose a useful framework for reflection that consists of three stages: (a) returning to experience; (b) attending to feelings; and (c) re-evaluating experience. This framework offers me the opportunity to reflect on my own experience of undertaking a three-and-a-half-year doctoral study.

I started my study by filling in a learning log on a daily basis, in which I wrote down key learning points, the conversations I had with individual colleagues or friends, and particular reflections on my experiences. This approach helped me to question what was objective and subjective. In addition it helped me to re-examine my frustrations and emotions.

Phenomenological research suggests that I examine the ways in which I experience the world and invites me to attempt to discover new ways of interpreting and understanding it. I went into this research with certain expectations of people's motivations and behaviours. I expected people to be demotivated and frustrated. I found, however, that in the AU3 many of its employees spend a good proportion of their time trying hard to advance the university. This was the opportunity to undertake an appraisal of the politics and the negative and positive feelings embedded in this particular group of senior leaders. I have learnt a range of initiatives to uproot corruption, to improve efficiency and to place students at the centre of the university. I have understood that, if the

institutional framework changes, then there is a set of people who are willing to engage in bringing about positive change.

During the research process, I discovered from the beginning to the end that research is not a linear process; I have learnt to understand the iterative nature of the process. For instance, to understand the nature and the characteristics of strategic leadership in the AU3, I had to make sense of what the concepts of leadership and strategy meant. During the fieldwork, I had to start again and understand the context from the respondents' perspective. As I made sense of the situation, my clarity and understanding increased and I had to question some of the understanding gained from the review of literature. This allowed me to develop a conceptual framework. Sharing respondents' experiences was enriching for me in understanding the key challenges they faced in strategic leadership and how they proposed to take issues forward.

The conceptual framework argues for a sound examination of their decision-making capabilities, and their awareness of the contexts in which they operate. As I proceeded in these investigations I learnt the background of how past events of a political and colonial nature had alienated the respondents. Even though these contextual and historical events impacted on these strategic leaders, I was encouraged by the determination of certain respondents to find solutions. I grew to understand that solutions for improvement should not be imposed, but have to come from within.

The project involved balancing both objectivity and subjectivity. The objectivity resides in the fact that as a researcher, I needed to be focused on the object. That is the concept of strategic leadership and its manifestations in the AU3. That required me to be rational and impartial in researching the nature and characteristics of strategic leadership.

Subjectivity demands perception, insightfulness to discover the intricacies of the manifestation of strategic leadership. This balancing act was rather difficult, but also exhilarating in challenging my thinking as the research progressed.

The most exciting part of this process for me was the development of theoretical concepts, something I have not experienced before. Tapping into the potential understanding of my intuition was rewarding. As I listened to the respondents, I started to understand their contexts, their organisational abilities, their individual characteristics. This challenged my own thinking and allowed me to develop new theory around strategic leadership.

The day the notion of ‘cultural patterning’ came to me was a ‘eureka’ moment. For me it validated the use of grounded theory as a data analysis instrument. It allowed me to identify a new way of looking at the data, something quite different from anything else I’d discovered in the review of literature. If I were to approach a research project of this kind again, I’m not sure I would start with a literature review at all. Instead I would let the data speak for itself.

Working with these SLs was a privilege. They displayed and understood the concept of strategic leadership. In particular, they made this concept their own in their context, by explaining the endogenous and exogenous factors shaping their thought processes. This helped me to empathise during the data collection. I now feel that if I were to go back to Benin, I would be better prepared to be a ‘strategic leader’.

Finally, the experience of this research has been nurturing and stimulating intellectually. It has also encouraged me to think about contributing to the development of higher

education in Benin in a way that I might not have before. I am proposing to return to the AU3 to research other aspects of strategic leadership in this context and work closely with these SLs.

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Appendices

Appendix 1

Letter to participants

Exploring the role of strategic leadership in the higher education sector in the Republic of Benin: A qualitative case study

Date:

Information Sheet for Potential Participants

Dear Sir/Madam,

I am writing to seek your participation in research, which I am currently undertaking as an EdD student with the UK's Open University. This research is focussed on an exploration of the **role of strategic leadership in higher education** in Benin, through an in-depth case study of the AU3 and the attitudes (and behaviours) of key actors in relation to the concept and practice of leadership.

Overall aim:

The aim of the proposed research is to examine whether the practice of 'strategic leadership' as applied in higher education has any resonance in the AU3.

In summary I want to draw upon Middlehurst et al., (1993) framework to examine: the extent to which the current leaders of the AU3 interpret their roles as strategic along the four dimensions outline by Middlehurst et al:

the formal structure

‘personal’ interpretations of senior staff roles

expectations of senior staff roles held by others, within and outside the institution

the relationships between positions, both formal and informal.

Methodology

AU3/VRAAIP (2010)

Following an extensive review of relevant literature, institutional policy and other relevant documents, and government policy statements on higher education will be analysed and interpreted.

Interviews

Data will be collected by means of individual interviews with a) the Rectorial team (6 members); and b) some lay members of senior team (this group is not part of the Rectorial team e.g heads of technical services), student representatives and heads of faculties (8). Respondents in group b) will comprise

one head of faculty

two students’ union representatives

two staff union representatives

one head of associated technical support services

two external stakeholders yet to be identified

Respondents in group a) and group b) will be interviewed twice. The length of the first interviews will be one hour; and second round of interviews will be a follow up; and will last half an hour.

A semi - structured interview is proposed with the aim of giving interviewees latitude to talk about the issues around leadership and themselves without the tight confinement offered by a structured interview. The semi-structured interview will allow the researcher to probe and ask for clarification as required.

Data will be tape -recorded and later transcribed and coded.

Anonymity and Confidentiality

I will ensure that throughout this study that data will be anonymised, and confidentiality will be upheld. Moreover, data will be stored securely and will be destroyed once its use for the purposes of my thesis has been served. Your own data will only be accessed by me and my OU EdD supervisor and teaching staff team. The researcher will ensure:

that he fully comply with the Data Protection Acts 1998: and your personal information must be: (a) fairly and lawfully processed and only if certain conditions are met; (b) processed for limited purposes; (c) adequate, relevant and not excessive; (d) accurate, secure, not kept long than necessary; (e) process in accordance with the rights of individuals and (f) not transferred to countries without adequate protection.

that all personal identifying information from the sets of data will be removed after collecting the data. An encryption technique will be used to assign to each participant a unique code and lodging the key for this identifier-participant in a secure place.

that the research will be registered in compliance with rules and regulations of the Data Protection Acts 1998.

that in case of you withdrawing from the research project, your data will be destroyed.

I have a responsibility to behave ethically at all times, and will follow the British Educational Research Association's Ethical Guidelines (2004).

Time schedule

I am expecting to travel to Benin in July 2010 for the fieldwork when I will interview you. This period may last three weeks. I will make due diligence to arrange our meeting by mutually agreed time. In some cases, I may need to contact you by phone, if I am seeking further clarification. I am expecting to submit my thesis in 2012.

If you agree to take part, what will you be asked to do?

I will contact you to arrange a mutually agreeable timetable to interview you on your roles, duties, responsibilities and the key challenges and strategic issues you face in your current post. We will also talk about the various stakeholders needs and demands placed upon you.

I expect the interview to last an hour in the first instance with the rectorial team; and one hour with each of the lay members. There will be follow up interviews with each member of the rectorial team which will last half an hour. In some cases there will be a half an hour follow up interviews with few lay members to seek further clarification and triangulate data collected from senior leaders and the documentary analysis.

Interviews will be tape recorded and transcribed.

What's in it for you if you take part in the project?

First and foremost, I hope it will be interesting! In addition, I hope the study will contribute to provide some insights into leadership and management in higher education

in Benin. Second the study will also help policymakers to understand the nature of leadership required in higher education and the nature of resources needed to develop the capabilities of those leaders.

You will have full access to the data I gather from you, and I will send you the transcript for amendments and corrections of inconsistencies if you wish to do so.

What if you are not happy or want to complain about something?

If you are not happy with anything throughout this study, please contact me at the above address. I will of course deal with any issues swiftly and in a professional manner. You may wish to talk to my supervisor about any concerns. Her contact details are on the consent form.

What if you drop out of the study before the end?

I very much hope that you will stay as participants throughout the study. However, you may withdraw from the study at any time and request that all your data provided up to this point in time be destroyed.

If you agreed to take part, please read now the consent form and sign it.

Many Thanks

Serge

Translation in French

Explorer le rôle des stratégies de gestion dans l'enseignement supérieur au Bénin : une étude de cas qualitative.

Date :

Cher Monsieur/Madame,

Je vous écris concernant votre participation à l'étude, que je suis entrain d'entreprendre en tant qu'étudiant doctorant. Cette étude portera sur l'exploration du rôle des stratégies de gestion dans l'enseignement supérieur au Bénin, à travers une étude de cas en profondeur de l'Université d'Abomey-Calavi (UAC) et des comportements des acteurs clés liés au concept et à l'exercice de la qualité de leader.

L'objectif principal:

L'objectif de la recherche proposée est d'examiner en détail si les pratiques des « stratégies de gestion » ainsi appliquées dans l'enseignement supérieur a quelconque écho dans l'Université d'Abomey-Calavi (UAC).

En résumé, Je souhaite m'appuyer sur les recherches de Middlehurst et al. (1993) pour examiner:

la mesure dans laquelle les dirigeants actuels de l'UAC interprètent leur rôle stratégique selon les quatre dimensions exposées brièvement par Middlehurst et al.:

- la structure formelle

- les interprétations personnelles des rôles des cadres supérieurs

- les attentes que d'autres ont des rôles des cadres supérieurs, au sein et en dehors de l'institution

- Les relations entre les positions, toutes deux formelles et informelles

Méthodologie

Recherche documentaire et analyse des pièces justificatives

Suite à l'examen approfondi du domaine d'études appropriées, les politiques institutionnelles, autre documents pertinents et les déclarations de politique gouvernementale sur l'enseignement supérieur seront analysés et interprétés.

Entretiens

Les données seront collectées lors d'entretiens individuels avec a) l'équipe du Rectorat (6 membres) ; et b) quelques membres de l'équipe de la haute direction/doyenne (ce groupe ne fait pas partie de l'équipe du Rectorat s'agissant par exemple des chefs de service technique), des représentants d'étudiants et chefs de faculté (8 membres). Les personnes interrogées du groupe b) comprendront :

- un directeur de faculté
- deux représentants de l'union des étudiants
- deux représentants de l'union des personnels enseignants
- un directeur des services de soutien technique associé
- deux intervenants extérieurs encore à identifier

Les personnes interrogées du groupe (a) et (b) seront interviewés deux fois. La longueur des premiers entretiens sera d'environ une heure ; et les seconds, des suivis d'environ une demi-heure.

Une entrevue semi-structurée est proposée avec pour objectif de donner aux interlocuteurs la possibilité de soulever des questions autour de la qualité de leader et d'eux-mêmes sans l'étroitesse d'une entrevue structurée. L'entretien semi-structuré permettra au chercheur d'explorer et de demander des clarifications lorsque cela s'imposera.

Les données seront enregistrées sur cassette et plus tard transcrites et codées.

Anonymat et Confidentialité

Je m'assurerai qu'à travers de cette étude, les données restent anonymes et la confidentialité sera respectée. De plus, les données seront enregistrées dans un endroit sécurisé et seront détruites une fois les objectifs de ma thèse atteints. Vos données propres ne seront utilisées que par moi-même, mon directeur de thèse et l'équipe enseignante. Le chercheur s'assura :

qu'il respecte l'Acte de Protection des Données de 1998 qui stipule : les données à caractère personnelles doivent être : (a) loyalement et licitement traitées et seulement si certaines conditions sont réunies; (b) traitées à des finalités déterminées; (c) adéquates, pertinentes et non excessives; (d) exactes, de manière sécurisée, en n'étant pas conservé plus que nécessaire ; (e) traitées conformément aux droits individuels et (f) en n'étant pas transférées dans des pays sans protection adéquate.

que toutes les informations d'identification personnelle provenant de l'ensemble des données seront effacées après la collecte des données. Une technique de cryptage sera utilisée afin d'attribuer à chaque participant un code unique et une clé de connexion pour cet identifiant de participant dans un endroit sécurisé..

que l'étude s'inscrira dans le respect des règles et dispositions de l'Acte de Protection des Données de 1998.

qu'au cas où vous choisissiez d'abandonner le projet de recherche, vos données seront détruites.

J'ai la responsabilité d'adopter un comportement éthique à tout moment, et de suivre le code d'éthique établi par l'Association Britannique de Recherche sur l'Education.

Il est prévu que j'arrive au Bénin en Février 2011 pour le travail de terrain lorsque je vais réaliser les entrevues. Cette période pourra durer trois semaines. Je m'assurerai avec attention de mettre en place les rendez-vous sur la base d'un mutuel accord concernant les dates et horaires. Dans certains cas, il me faudra vous contacter par téléphone, si je cherche de plus amples clarifications. Je dois soumettre ma thèse en 2012.

Si vous acceptez d'y prendre part, que vous sera-t-il demandé ?

Je vous contacterai pour mettre en place un agenda pour réaliser l'entrevue sur vos rôles, devoirs, responsabilités et les principaux défis et enjeux stratégiques que vous rencontrer dans votre poste actuel. Nous parlerons également des différents besoins et exigences des intervenants externes dont vous êtes en charge.

Je m'attends à ce que l'entrevue dure environ une heure en premier lieu avec l'équipe du Rectorat ; et une heure avec chacun des membres. Il y aura des suivis d'entretien avec chacun des membres de l'équipe du Rectorat qui dureront une demi-heure. Dans certains cas, il y aura un suivi d'entretien d'une demi-heure avec certains des membres afin de clarifier et de regrouper les données recueillies de la haute direction et de l'analyse documentaire.

Les entretiens seront enregistrés sur cassette et retranscrits.

Quel bénéfice pour vous si vous prenez part au projet ?

Avant tout, j'espère que ce sera intéressant ! En outre, j'espère que l'étude contribuera à apporter un regard neuf sur la direction et la gestion de l'enseignement supérieur au Bénin. En second lieu, cette étude aidera les responsables des orientations politiques à comprendre la nature de la gestion requise dans l'enseignement supérieur et la nature des ressources nécessaires pour développer les capacités de ces dirigeants. Enfin, vous aurez accès à toutes les données recueillies auprès de vous, et je vous enverrai une copie des modifications et corrections des incohérences, si vous le souhaitez.

Si vous n'êtes pas satisfait ou souhaitez vous plaindre de quelque chose ?

Si vous n'êtes pas satisfait de quoi que ce soit le long de cette étude, veuillez me contacter grâce aux contacts ci-joints. Je traiterai bien évidemment tout type de problème avec professionnalisme et rapidité. Vous avez la possibilité de parler avec ma directrice de thèse à propos de toute inquiétude. Ses coordonnées figurent sur le formulaire de consentement.

Si vous souhaitez vous retirer de l'étude avant la fin ?

J'espère sincèrement que vous resterez en tant que participants tout au long de l'étude. Néanmoins, vous pouvez vous retirer à tout moment et demander que vos données fournies jusqu'à ce moment soit détruites.

Si vous acceptés de participer à mon projet de recherche, veuillez maintenant lire le formulaire de consentement et le signer.

Merci pour l'attention accordée.

Serge Koukpaki.

Appendix 2: Letter of access to AU3

A

Professeur Cossi Norbert AWANOU

Recteur de l'Université d'Abomey-Calavi

Objet: Clarification de l'autorisation d'accès aux recherches

Référence: Lettre en date du 26 novembre 2010 N°1815-10/UAC/SG/VR-

AAIP/SEOU

Monsieur le Recteur,

Comme faisant suite à votre correspondance sus référencée, relative à l'objet ci-dessus mentionné, je souhaiterai tout d'abord vous remercier de l'honneur que vous m'avez accordé pour la réalisation de ma thèse de Doctorat.

Je dois cependant vous demander de reconsidérer cette attention très particulière suite à un malentendu. En effet, j'entame actuellement ma deuxième année en Doctorat. Ainsi, je ne recherche donc pas l'obtention d'un double doctorat, mais l'accès à un échantillon de personnalités liées au monde universitaire.

Dans le cadre de ma thèse, je suis amené à étudier en profondeur la nature du

leadership de l'Université, ce qui requiert plusieurs rencontres au sein de l'équipe rectoral, en particulier le recteur, vice recteur, secrétaire général et comptable. Je souhaiterai également m'entretenir avec des représentants d'étudiants et chefs de faculté.

Dans le cadre de cette étude d'échantillon, je n'aurai donc pas besoin d'un encadreur, réalisant les études documentaires par moi-même au sein de la bibliothèque. La convention de cotutelle n'est donc pas nécessaire, effectuant mon Doctorat au sein de l'Université d'Edinburgh depuis maintenant deux ans.

Malheureusement, du aux contraintes de temps et demandes des études, je serai à Cotonou dans deux semaines. Je souhaiterai en conséquence que vous me contactiez par mail ou sous couvert de Mr Emmanuel SEKLOKA, chercheur impliqué dans la génétique et l'amélioration des plantes: 01BP747474 Cotonou, République du Bénin; Tel (229) 95853417 / 97163598

Dans l'attente d'une réponse de votre part, je vous prie de croire, Monsieur, à l'assurance de ma parfaite considération.

Signature

Serge KOUKPAKI

Appendix 3

Consent form

Consent form

I am seeking your consent to participate in this project, please read the information sheet attached, and sign the statement below.

Exploring the role of strategic leadership in the higher education sector in the Republic of Benin: A qualitative case study

I understand that:

this study is related to an Open University Doctorate in Education research project, that my participation is voluntary and can be discontinued at any time

this research is to find out about strategic leadership in the higher education sector in Benin, and that I have been fully informed of the aims and purposes of the research; any information I give will be used solely for the purposes of this research and for academic publications in fully anonymised form.

the information which I give may be shared between the researcher and his supervisors for the purpose of supervision only and will; not be passed on to any third party.

the interviews are audio-recorded

Data Protection, Confidentiality & anonymity:

that the researcher will fully comply with the Data Protection Acts 1998: and your personal information must be: (a) fairly and lawfully processed and only if certain conditions are met; (b) processed for limited purposes; (c) adequate, relevant and not

excessive; (d) accurate, secure, not kept long than necessary; (e) process in accordance with the rights of individuals and (f) not transferred to countries without adequate protection.

the anonymisation procedures include removing all personal identifying information from the sets of data after collecting the data. This will be achieved by the use of encryption technique requiring assignment to each participant a unique code and lodging the key for this identifier-participant in a secure place;

two copies of the consent form will be signed; and one to be retained by participant and one by the researcher.

I have read and understood the nature of my involvement in the project; I will take part; and that I may withdraw at any time without facing any penalty. I also agree that the data collection is by audio- recording interviews.

Name:

Identifier:

Signature:

Date:

If you need further clarification and information about this research, please contact me or Maggie Preedy on the addresses below:

Serge Koukpaki

The University of Edinburgh

Dr Maggie Preedy

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Appendix 4

Semi-structured interview Schedule (3rd Year EdD)

1. in their formal responsibilities

1-1- Could you please describe your formal roles?

1-2- How does your formal role relate to the core mission and goals of the university?

1-3- Are there any other informal roles associated with your position?

2. Strategic issues

2-1- Could you please give me few examples of strategic issues you face in your current job? (These are any medium to long-term environmental factors capable of affecting the long -term prosperity/survival of the university).

2-2- Could you please summarise which one are concerned with internal environment to the university?

2-3- Could you please summarise which ones are concerned with external environment to the university?

2-4- Which of these strategic issues are concerned with resources allocation?

2-5-What are the distinctive strengths of the UAC in comparison to other universities in Benin; and the West Africa region?

2-6 -Who are the major competitors of the UAC and their performance?

2-7-What are the UAC competitive strategies?

3. Strategic decisions

3-1-Could you please give me few examples of strategic decision you made recently?

3-2-Who are the main stakeholders involved in these strategic decisions?

3-3-What were the risks associated with these decisions?

3-4-What were the uncertainties associates with these decisions?

3-5-Please explain the process of formulation/development of these strategic decisions in terms of your contribution to the process.

3-6-Please explain the implementation and long term outcomes of these decisions.

3-7- Could you please comment on the underlying values, beliefs, and customs that underpin those decisions.

3-8-What is the role (s) of Governors in strategic decisions making processes?

3-9-What is the difference between the executive board and the governors?

3-10--How are decisions made by the governors?

3-11-Do governors approve strategic decisions?

3-12-Are there any decision taken without the governors' approval?

4. Leaders skills/attributes

4-1-Could you please give me an example of when you use your leadership skills to affect a change and achieve a strategic outcome?

4-2-What are the key leadership attributes and competences underlying this successful outcome?

4-3-Could you please tell me how you use your leadership skills to affect stakeholders' resistance to change?

4-4- To what extent would you say that these skills are learnt in the job?

4-5-Which ones have you developed over the years?

4-6-Which ones are you encouraged or willing to learn in the future?

5- Future leadership

5-1-Describe the nature of leadership you receive from above

5-2-What do you think will be the main focus of your job in the next two years?

5-3-What are resources needed to attend to this?

5-4-What skills and competences do you think your successor should have?

Please explain why?

5-5-Are there anything you would like to the above.

5-6-How are governors trained and develop?

5-7-How does one (*organisation? peer group?*) determine the competences, skills, and abilities of the executives?

6- Succession planning

6.1-How do the university's governors plan the development of talents in the UAC?

End! Many thanks for accepting and allowing me to collect these data.

Entretien semi-structuré: Doctorat en Education

Dans le cadre de leurs responsabilités formelles

Pourriez-vous décrire vos rôles officiels ?

De quelle manière votre rôle formel est-il lié au cœur de la mission et des objectifs de l'Université ?

Y-a-t-il d'autres rôles non officiels associés à votre position ?

Questions de Stratégie

2-1- Pourriez-vous me donner quelques exemples de questions stratégiques auxquelles vous faites face à votre poste ? (Cela concerne tout facteur environnemental à moyen ou long terme capable d'affecter la prospérité/survie à long terme de l'Université)

2-2- Pourriez-vous récapituler celles touchées par l'environnement interne à l'Université?

2-3- Pourriez-vous récapituler celles touchées par l'environnement extérieur à l'Université

2-4- Lesquelles touchent à la répartition des ressources?

2-5- Quelles sont les forces caractéristiques de l'UAC en comparaison aux autres universités au Bénin ; et dans la région de l'Afrique de l'Ouest ?

2-6- Quels sont les principaux rivaux de l'UAC et leurs performances?

2-7- Quelles sont les stratégies concurrentielles de l'UAC?

3. Décisions de Stratégie

3-1- Pourriez-vous me donner quelques exemples de décisions stratégiques que vous avez récemment prises?

3-2- Qui sont les principaux acteurs impliqués dans ces décisions stratégiques?

3-3- Quels étaient les risques associés à ces décisions?

3-4- Quelles étaient les doutes associés à ces décisions?

3-5- Veuillez expliquer le processus d'élaboration/développement de ces décisions stratégiques selon votre contribution au processus

3-6- Veuillez expliquer la mise en œuvre et les résultats à long terme de ces décisions.

3-7- Pourriez-vous faire un commentaire sur les valeurs sous jacentes, croyances et coutumes qui étayent ces décisions.

3-8- Quel est le rôle des membres du conseil supérieur dans les processus de décisions stratégiques?

3-9- Quelle est la différence entre le conseil d'administration et les membres du conseil supérieur?

3-10- Comment les décisions sont-elles prises par les membres du conseil supérieur?

3-11- Est-ce que les membres du conseil supérieur approuvent les décisions stratégiques?

3-12- Y-a-t-il quelconques décisions prises sans l'approbation des membres du conseil supérieur?

4. Les compétences/caractéristiques des leaders

4-1- Pourriez-vous me donner un exemple où vous utilisez vos facultés de leadership pour avoir une incidence sur un changement et atteindre un résultat stratégique.

4-2- Quelles sont les caractéristiques et compétences clés de leadership étayant ce bon résultat?

4-3- Pourriez-vous me dire comme vous utilisez vos qualités de leadership pour avoir un impact sur la résistance au changement des membres du conseil supérieur?

4-4- Jusqu'à quel degré diriez-vous que ces compétences sont apprises dans le cadre du travail?

4-5- Lesquelles avez-vous développées au fur et à mesure des années?

4-6- Lesquelles seriez-vous prêtes ou êtes vous encouragées à apprendre dans le futur?

5. Leadership future

5-1- Comment décririez-vous le principe de leadership lorsque appliqué sur vous ?

Le type de relation que vous entretenez au sein de l'Université est-il basé sur le leadership ? sur le concept de leadership ?

5-2- Selon vous, quel sera le point principal de votre travail dans les deux années qui suivent ?

5-3- Quelles sont les ressources nécessaires pour l'atteindre ?

5-4- Selon vous, quelles sont les qualités et compétences que votre successeur devrait avoir ? Veuillez expliquer pourquoi.

5-5- Voudriez-vous ajouter quelque chose à ce qui a été dit précédemment ?

5-6- Comment sont formés et entraînés les membres du conseil supérieur ?

5-7- Comment est-ce qu'une organisation/des pairs détermine(nt)-t-il(s) les compétences, capacités et facultés des cadres ?

6. Organisation de la succession

6-1- Comment est-ce que les membres du conseil supérieur de l'Université prévoient-ils le développement des talents au sein de l'UAC ?

Fin ! Mille merci pour avoir accepté et m'avoir permis de collecter ces données.

Appendix 5

Example of transcript in French

Respondent 2

KS: Comme je l'ai dit, je suis entrain de faire une recherche sur le mode de gestion des Universités en généralement, le questionnaire comporte en fait 5 parties:

La première partie votre rôle, vos responsabilités officielles et comment ses responsabilités là sont liées à la mission et à l'objectif de l'Université et d'autres rôles informelles associés à ce que vous faites en général en tant que Vice-Recteur.

La seconde serait autour des stratégies de l'organisation, des difficultés stratégiques que vous rencontrez et ensuite hercher à voir certaines décisions stratégiques que aviez pris récemment ou au cours de votre fonction, on va en parler plus en détails et voir ensuite les caractéristiques et les compétences que vous développez en tant que leaders à votre position et ensuite ce que vous pensez que les leaders futurs qui vont gérer l'Université auront en tant que compétences, attitudes ; voilà en bref ce que je propose.

Pourriez-vous me décrire votre rôle officiellement et les manières dont ces rôles là sont alliés avec la mission et les objectifs de l'Université d'Abomey-Calavi.

VR: Moi, c'est Rep. 2, je suis Vice – Recteur à la Recherche Universitaire, fondamentalement ma mission c'est de coordonner tout ce qui est activités scientifiques dans l'Université, aux Universités et puis rendre compte aussi de ce qu'est la recherche à l'UAC. Et par ma position aussi, essayer de développer, je dirais diverses activités permettant réellement d'asseoir la recherche de l'Université dans la (RENA). Ce que sait

que la recherche en Afrique et dans le monde. C'est à peu près ce que je fais en tant que VR chargé de la recherche.

KS: Es-ce qu'il y a d'autres rôles non officiels associés à votre position?

VR : Je suis directeur par exemple du laboratoire d'Ecologie Appliquée qui est en réalité, assise au sein de cette Université en un laboratoire créé depuis 1994 et qui anime la recherche en Ecologie Appliquée dans tous les aspects liés au monde rural de l'écologie et là, je suis très actif là dans. Il y a mon rôle classique d'enseignant, je suis encore dans les cours, les cours que je donne et aussi, les nouveaux cours que je développe selon un peu mon analyse de l'environnement du texte international de la recherche que je développe.

KS: Maintenant, ça, c'est la partie une, la deuxième concerne, les questions stratégiques et je voudrais que vous me donniez une définition de la stratégie en général.

VR: Disons, ce que j'ai compris, dès qu'on m'a élu ici, la première des choses en ce qui concerne la recherche universitaire, j'ai ma stratégie au niveau de mon laboratoire. Que signifie la recherche pour l'université, comment est-ce qu'on peut développer la recherche et comment aussi rendre visible la recherche à l'université du peu que les collègues font, est-ce qu'il y a moyen d'y lire quelque chose? Qui fait la recherche? Où fait-on la recherche? Et comment rendons compte de la recherche?

La seconde chose, en tant responsable chargé de coordonner les activités les activités de recherche, est-ce qu'on peut innover, développer quelque chose?

Tertio, pouvons-nous faire en sorte que tous à l'extérieur se rend compte que réellement à l'UAC quelque chose bouge en matière de recherche. Tout cela a été

formulé dans une petite synthèse qui était d'abord mes listes d'occupation de ce poste et quelle est mon analyse personnelle de la situation. Et où est-ce que je dois innover donc ça a été d'abord ma première vague de réflexions, une fois que s'était devenu clair pour moi, les grandes lacunes à combler; ensuite, je me suis lancé, je dirai dans les activités. C'est les questions que je me suis posé, les réflexions personnelles que j'ai eu à faire et il faut aussi l'écrire. La mémoire n'étant pas toujours ce qu'il est. J'ai écrit cela et partagé avec mes collaborateurs immédiats et sur cette base, bon, on a commencé les activités; voilà à peu près...

KS: Vous aviez dire que vous aviez écrit ça, est-ce que vous pouvez partager ces documents avec moi si?

VR: Sans problème!

KS/ Maintenant sur le plan de la recherche, vous aviez utilisé un mot qui a attiré mon attention ou deux. Et la première, c'est « VISIBLE » (rendre les recherches visibles). Et la seconde, c'est pouvoir rendre public; ce qu'on fait ici. Vous pouvez labourer sur ces deux éléments là: la visibilité et la publication.

VR: La première des choses, j'ai l'habitude au niveau de mon laboratoire chaque année, je rends compte des choses faites au niveau de mon laboratoire. Donc, les collègues savent déjà à peu près, ce que nous faisons au niveau de mon laboratoire. Je vais vous donner copie de ce qui est fait en 2009; nous sommes en train d'écrire le rapport de 2010. Ça vous permet de voir ce qui est fait. Donc, c'est pareil, et pour l'université, je me suis dit avec le peu de moyen que les collègues ont et je le sais, ils développent les activités de recherche. Comment rendre compte de cela à l'opinion publique?

Maintenant première des choses, c'est commencer à écrire aux collègues, les convaincre que c'est nécessaire. Si un jour, nous devons aller chercher des moyens quelque part, je dis mais voilà ce que nous faisons, si vous nous en donner plus là... Et pour cela, moi aussi, j'ai envi de connaître globalement la géographie de la recherche à l'UAC, qui fait quoi? Donc, tout doucement, ils ont commencé à envoyer leur production. Je dirai, un peu timide la première année en 2005, mais une fois que j'ai démontré ce que je pourrais en fais et ils ont touché du doigt, ce qu'il en était, aussi en leur montrant ce que j'ai l'habitude de faire au niveau de mon laboratoire, paf, je crois que ça a pris et depuis lors c'est déjà une acte classique où l'on rendre compte de la recherche. (Çà, c'est pour l'année 2007, ça c'est pour cette année, ce qui rendre compte de 2009, c'est mon laboratoire d'écologie appliquée, je l'ai écrits en Anglais.

KS: Ce serait plus facile pour moi!

VR: Donc, à partir de cet instant, les résultats que nous obtenons à l'UAC sont consignés sous forme d'un petit document et chaque année, c'est une restitution publique, on invite tout le monde, on invite les chercheurs de la sous région, ensuite les collègues de tous les établissements, les doctorants, même les étudiants, le personnel dans l'enseignement pour qu'ils voient ce que font les enseignants, le cabinet du ministre, le ministre parfois même qui vient ouvrir. Donc j'expose les résultats de l'UAC. Ce qui les permet de se rendre compte. Bon, on n'a pas assez de moyen pour que je mette les abstracts. J'aurais bien souhaité que cette année j'ai pu sauvegarder de ressources après avoir démontré cela, le rapport de l'année prochaine va reprendre tout les abstracts de ce qui a été publié et même aussi pour des thèses de doctorat nous allons prendre des abstracts ça va faire quelque chose de beaucoup plus détaillée.

KS: Si vous voulez récapituler un peu, quels les défis stratégiques à part les moyens dont vous avez parlé que rencontre la recherche en général à l'UAC?

VR: Je crois que toutes les universités africaines, je crois si vous faites tourner la carte de la recherche, Google à essayer de fabriquer la charte de la recherche mondiale. Il est vraiment difficile de voir de l'Afrique un peu comme une boule volée dans l'espace de l'Afrique invisible. L'Afrique invisible signifie que les Universités sont invisibles tout au moins sur ce rôle de la recherche. Ca veut dire que le vrai défi, c'est comment ramener le développement sur les bases scientifiques. Comment animer la recherche au développement. Ça a été tout temps découplé, les Universités c'est la théorie, c'est la formation, la recherche non, on ne connaît pas cela en Afrique; du moins, les recherches ne peuvent se faire qu'à travers les sites via les grandes institutions internationales qui ont leur base par-ci par-là. C'est en partir vrai étant donné que la formation des premiers cadres en Afrique a été une formation pour servir l'administration, notamment le monde francophone. Ça, la formation pour avoir des cadres pour animer les différents et vu sur le plan de cet aspect. On n'a jamais montré que la recherche est une façon d'outiller le cadre pour qu'il soit à même de fabriquer ses propres technologies. C'est résoudre ses détenus ainsi de suite. La preuve, lorsqu'un Chef d'Etat dit, je veux développer le cacao, le café, à priori, il ne va aller planter, récolter et exporter. Ce qui schématise les choses, il sait jamais dire faisons en sorte que nous puissions utiliser les connaissances modernes pour bâtir de nouvelles compétences et aussi mettre en place des capacités ou compétences au service de l'amélioration de ce que nous faisons c'est-à-dire la recherche. 2006, 2007, votre Président de la République qui est sa priorité, il veut développer le coton sur des terres déjà appauvries. Il veut développer le coton dans un monde extrêmement compétitif. Ça veut dire si je dis, je vais améliorer le coton, comment fait pour que la recherche puisse améliorer ce que nous faisons pour que moi,

je puisse placer sur le marché des produits compétitifs et de manière durable. Il faut travailler sur l'agronomie du coton, de façon moderne pour que réellement la production dans l'espace devienne la recherche de la productivité plutôt à l'unité de surface. Comment faire aussi pour que les magnons de la chaîne puisse à chaque étape trouver le meilleur profit / bénéfice pour que chaque magnon puisse se développer ou tout au moins pouvoir le moins se maintenir dans le temps donc, c'est pas seulement une question de ..., bon, je paie des engrais, je vous donne des subventions. C'est accompagné, cela pas la recherche dans les institutions de la recherche, la recherche à l'Université et aussi aider les universités à former les compétences nécessaires pour encadrer cela. C'est ça ce qu'on appelle réellement croit en la recherche et utiliser la recherche pour le développement. On peut toujours accuser les dirigeants, mais le réel problème. C'est par ce qu'on n'a pas formé nos compétences par rapport à la recherche. Tu prends n'importe quel Européen, tu lui dis que la recherche tout suite, il y croît parce – que tout l'entoure, il trouve la main de la recherche avec les débouchés technologiques qui l'aide lui à rendre sa vie facile au jour le jour. Donc, ça ne pose quasiment pas de problème. Ici, si on doit convaincre un Chef d'Etat, un ministre de donner de l'argent, cela veut dire que la cause lointaine. Pas de miracle à cela, il faut que la personne ait ce qu'on appelle la culture de la recherche pour comprendre que chaque décision à besoin d'être analysée voir réellement dans ses profondeurs. Je dirai même, la décence même du problème pour être sûr que la réponse que j'apporte est vraiment une solution.

KS: Et par rapport aux recherches qui sont faites à l'UAC à comparer à d'autres Universités de la place (privé) ou de la sous région, quelles sont les forces et les caractéristiques de l'UAC dans ses domaines là ?

VR: On était parti d'une expérience que je dirais qui cachait ou ne permettait pas l'éclosion et tout ce que je peux appeler l'énergie aminé pour la recherche. Bien que, je fais ma thèse à l'UAC, l'Université du Bénin d'alors, d'office, je suis professeur. Je suis allié sur une grille salarial que tous les agents permanents de l'Etat et que je sois professeur ou non tout le monde évolue de la même manière et est bloqué quelque part et sans regard porté sur la production ne permettant même de justifier mon salaire. Dans ces conditions, l'homme laissé à lui-même tant toujours vers la paresse si l'environnement n'est pas compétitif. Si le système de l'homme, n'est un système d'évaluation, système exigeant; on tend toujours à se reposer. Curieusement les pays francophone en Afrique de l'ouest ont mis en place un système d'évaluation, je dirai ce qu'on appelle « le peer reviews ». Ce n'est plus des amis, des copains qui se réunissent et disent celui là veut changer de grade. Ils ont mis en place un système qu'on appelle le CAMES qui permet de faire la promotion des enseignants compétents, de changer de grade ce Conseil Africain Malgache pour l'Enseignement Supérieur à des exigences, je dirai recommandable qui sont que, il faut produire au fait de la recherche c'est-à-dire publier.

La seconde chose, il faut améliorer la manière de rendre l'enseignement, il faut évaluer pédagogiquement l'enseignant.

Tertio, il faut un certain nombre de chose à travers lesquelles on évalue le sérieux de l'enseignant à rendre compte. Le dossier comporte à peu près 16 pièces. Il faut disposer ces pièces, bien les ordonner, bien les présenter. Tout chose qui réellement que l'enseignant qui est engagé dans la recherche de promotion travaille réellement pour mériter cette promotion. C'est vraiment sérieux au niveau de l'espace CAMES d'Afrique de l'Ouest. Et, c'est ça qui fait que même si les salaires ne suffisaient pas pour ses genres d'exigences en thème de qualification, les collègues à un moment donné se voient comparé à leur collègue des autres pays. Mais, j'étais à une conférence, mon

collègue du Burkina qui que lui, il maître de conférence, moi je dis que je suis simple assistant mais ça crée une petite jalousie positive. Pourquoi, est-ce que moi aussi je ne peux être ce qu'il est. Déjà à partir de là, je dirais qu'il y a un petit semblant de faisons quelque chose, pour mériter les titres. Avec le recrutement de jeunes assistants la masse critique, je dirais manant même raisonnement est devenu importante. Ah, tu es quel grade, les grades ont commencé pas circulés dans la jeune Afrique. En ce disant nous aussi, nous pouvons évoluer et lié à ça, qui travaille à un moment donné exige des retombés; je dirai pécuniaires. Ce qui permet maintenant, j'avoir des salaires qui répondent réellement à l'enseignement supérieur (ce que l'enseignement supérieur leur donne). Cet ensemble d'évaluation, je dirai hors pays, au niveau régional, c'est toujours douloureux de dire ; Monsieur a échoué pour son grade de maître assistant, de son grade de maître de conférence, ça fit réfléchir pourquoi alors ne pas travailler pour passer tout ça cela. Je crois que ça a été un moteur extrêmement puissant qui a poussé la recherche les trois dernières années, c'est figurant quand je vous délise la courbe cette fois-ci de l'accumulation. Je dirai des publications, donc moi de plus en plus je mets les publications à bas facteur, les scientifiques sur vitre, le social encore me pose un peu de problème notamment les sciences juridiques, économiques ; je ne les voir pas bien venir mais j'espère que avec le temps, ils vont s'arriver. Donc, tout suite on voit que les collègues des public viennent. Il faut reconnaître que nous sommes partis de loin et au moment ou les pays comme le Nigéria, l'Egypte sont à 2000 publication par an, nous en sommes à 300 et de ces 300, il faut compter à peu près 30% à 40% qui sont dans des revus tout au moins indexé à bas facteur dont la partie lisible de la recherche tourne au tour de 80%.

Puisque, maintenant beaucoup de bas ont repris la plupart des revus dispersés par-ci, par-là et on peut aller retrouver effectivement la publication de beaucoup d'articles qui indexe les revus. En ça, je crois que c'est quelque chose de très motive, c'est une bonne

chose. Comment faire pour que les collègues suppléent au manque de ressources qui devait nous venir des Etats? L'Etat devrait se dire si le Bénin doit faire la différence, il faut que le Bénin produise. Le Bénin ne doit pas faire la différence en produisant ce que produit déjà le chinois, ce que produit l'américain. C'est dire, il faut que la production soit basée sur la création technologique, des idées, des procédés ainsi de suite. Il faut qu'il ait de la recherche, c'est pourquoi, je disais c'est beaucoup; à un moment, au début des années 2000 et j'ai compris que l'analyste Américain a fait évaluer la contribution de la recherche au développement des Etats-Unis, il en n'est arrivé à démontrer qu'en réalité, le capital financier pris au sens ou pris en thème pécuniaire du terme n'a contribué que 12,5%. Ça m'a beaucoup fait réfléchir et il a bien démontré cela. L'autre chose, quand on voit les pays émergents l'Europe, peut s'aligner facilement sur les Etats-Unis mais quand on voit les pays émergents lorsque les chinois ont décidé.

kilomètres pour aller faire des textes en écologie, donc aller voir ce qui se passe au bout du Bénin, aller au Ghana, au Sénégal, j'ai d'énormes besoins de moyens et pourtant je ne me plains jamais ; simplement parce-que je fais comme tout le monde..... Aux Etats-Unis, on court pour aller chercher de l'argent, on attend, bon, le gouvernement américain ou Européen vous en sort de sous. Le laboratoire va se débrouiller pour aller réellement sur de bases compétitives. Donc, la première des choses quand je suis arrivé ici, je dis, si vraiment l'Etat n'a donné de sous, le peu que nous avons, je vais vous organiser pour que vous puissiez l'utiliser comme un bon universitaire. Savoir, la recherche est question d'équipes compétitives, qui doivent d'abord se dire que nous devons être sérieux vis-à-vis, nous voulons proposer dans la gestion du peu que nous avons. Si, c'est deux choses vont de paires je crois que vous allez sortir de la recherche. C'est difficile au début, mais c'est seulement pour l'Université nous avons que 200000000. 17 établissements à l'époque, près de 500 enseignants chercheurs, c'est grande chose, comme c'est grande

chose, il faut alors s'organiser. Quand je suis arrivé s'était du saupoudrage, 500,000; 2,000000 par là, et à l'année prochaine, vous n'êtes pas su de gagner quelque chose, et puis il n'ya pas de compte rendu. Pour ça, je suis énormément nerveux quand on prend un franc de quelqu'un et qu'on ne rend pas compte, ça me nerve, il n'y avait pas du tout de compte rendu. Je dis c'est compliqué pour pouvoir, nous nous organisons par rapport...

KS: 3^{ème} partie, Les décisions stratégiques.

Est-ce que vous pouvez cibler deux exemples de décision stratégiques que vous aviez pris qui peut être selon le témoignage de votre?

VR: La première des choses, c'est qu'il faut que les collègues sachent comment il faut chercher de l'argent pour faire de la recherche. Je disais avec de l'argent qu'on avait, je les ai dit avant on donnait une quarantaine de personnes de petits sous sans moyens de contrôle et aussi sans moyens de suivre pour l'année qui suit. Si c'est 100000, je dis moi je veux que vous allez cette fois en équipe. Ah, un bon programme que vous puissiez à travers ses programmes dire vous pouvez bien développer votre activité de recherche.

Premier principe, pour une fois, je ne vais pas donner de thème, aller en libre penseur, choisissez entre vous-même, vos collaborateurs. Formez entre vous-même votre équipe et vous me proposez quelque chose.

Deuxième chose, je ne vais pas vous faire perdre du temps, vous allez d'abord pas concept note entre deux et trois pages, vous allez rédiger toute votre idée de projet. Je vais vous donner un guide pour faire un concept note. C'est seulement ceux qui seront pris qui vont développer en détail leurs idées et quelques conditions, La première même si le budget est peu, je veux de ce budget dessert toutes les composantes de l'Université.

Je veux que ce budget permet de jeter les ponds au niveau des facultés qui ne se retardait jamais où il est en droit, moi je suis en science économique, je ne sais pas ce que je vais fais avec lui, non aucun problème ne se pose à cela, il va apprendre à faire. Donc, conditions de base, dans votre équipe, les chercheurs eux seront les doctorants obligatoirement, la cheville ouvrière de la recherche.

Deuxième, au dessus des doctorants, toute la hiérarchie d'enseignants, les assistants, maîtres assistants etc. Les doctorants peuvent avoir pour eux, ceux qui font leur mémoire sur certain aspect des thèmes du doctorant. Ainsi, la même bourse profitera depuis l'étudiant qui fait son mémoire de maîtrise ou de DEA au doctorant qui est la cheville ouvrière qui est l'incontournable et les enseignants qui sont des encadreurs les équipes doivent être inter facultaire obligatoirement quelque soit la taille de la faculté, je ne veux rien comprendre.

Tertio, Ce ne sera plus un petit budget d'un an, ce serait un budget sur 3 ou 4ans le temps de permettre aux doctorants de faire un bon travail. Aussi, nous sommes à une heure où faire la recherche suppose donner le minimum aux doctorants. Chaque doctorant constituera un salarié à 100000f par mois pendant les 3 ou les 4 années. Il aura systématiquement son ordinateur, il n'y a pas question d'être doctorant sans ordinateur. L'équipe retient un laboratoire clé qui reçoit annuellement un budget de 5000000f pour ses équipements, l'encadrement des recherches des chercheurs est un budget à par. Chaque équipe à 1500000 pour aller superviser des missions.

Tertio, les mémorants ont un budget pas question de dire, il est en mémoire, on ne lui donnera rien non. Il y a 400000f pour aller faire la recherche sous la supervision du doctorant qui en rend compte aux différents chefs. L'assistant superviseur à 100000, le maître assistant à 200000f, le maître de conférences à 300000f, le professeur titulaire

500000f par an. Sur cette base là, 25 équipes pour développer des concepts notes. On a choisi par concept note 2 évaluateurs.

Après la phase concept, nous allons retenir 50% des équipes. C'est-à-dire 12 équipes peuvent partir en compétition et des 12 nous allons les suivre. Je ne sais pas si c'est 3 évaluateurs à projet détaillé. Si c'est 3, nous allons retenir les 5 ou quelque chose de cinq pour donner

On a sorti les documents en 5000 exemplaires par an (ça c'est les activités dont il y a un point de financement de 18 à 20000 X 3 années, le temps que la recherche dure).

Maintenant que les doctorants sortent ceci, parce- que j'ai les livrables dont j'ai besoin, j'ai besoin de mes pro, j'ai des publications. Dans notre règle ici, on ne peut aller soutenir une thèse, que lorsqu'on a publié une publication au moins une fois. Ça veut dire que si je dis que j'ai formé un docteur. C'est que j'ai au moins une publication.

2^{ème} chose, j'ai besoin des thèses de doctorat, la 3^{ème} chose les mémoires viennent enrichir le docteur formé. Cela permet de nous justifier que nous n'avons pas de grande chose mais le peu nous avons voilà ce qu'on a fait avec. C'est très pénible vis-à-vis des bailleurs et puis aussi, je dis là vous mettez dans la règle internationales. Les projets que je gagne, c'est toujours en équipe, dont on entre en compétition, on échoue dans pas mal de projet, mais ça ne nous décourage jamais, UE, projet des pays ainsi de suite. C'est ça qui fait que bon, on a développé cette habileté, aller gagner. Mais pas se heurter, comme nous on vient de loin, on a mis une commission d'évaluation et de suivi des projets qui accompagne les équipes. C'est une commission du rectorat qui est chargé de discuter avec les membres du projet (aviez-vous fait ceci, aviez-vous respectez votre planning ainsi de suite) et de rendre compte au conseil scientifique sur une base annuelle. Il peut se réunir plusieurs fois par an (par exemple pour la première année, ils se sont réunis près de 4 à 5 fois). A mi chemin, un an et demi après, nous avons lancé une commission indépendante pour aller évaluer les systèmes, dire où est-ce que ça cloche? Qu'est-ce

qu'il y a? Qu'est-ce qu'il faut faire? Est-ce que la commission a été effectivement positive? Et enfin de projet de 23ans, on a commis encore une autre commission vraiment indépendante totalement indépendante, qui a été cette fois-ci évaluée avec toutes les insuffisances ci et là; qui remis son rapport au conseil scientifique qui sera présenté au prochain conseil. Voilà a peu près tous les garde fou qu'on a du mettre pour que réellement on puisse tenir à court sûr. Tous les textes sont là. C'est heureux!

KS: Intervention en anglais.

VR: En anglais, Vu comme tel, donc moi je suis plus à l'aise pour aller demander à mon Ministre avec force et violence, si vous donner voilà,. On a souffert avec seulement 100000000 par an voilà ce qu'on a produit. De grace, pour 6 mois loin vous allez voir. Il y a beaucoup de jeune, je peux dire maintenant, je suis sous pression. La mission finale a déposé son rapport en décembre. On attend le prochain conseil scientifique pour donner le point sur ça, chaque professeur qui dirige vient présenter aussi, chaque fois c'est un professeur qu'on avait pris qui avait tout le processus d'examen, des concepts note qui viendra rend compte.

C'est aussi un professeur qui a suivi tout le processus qui viendra rendre compte au conseil scientifique, pour qu'on reste indépendant, on ne reste pas juge et partie. On va encore lancer la prochaine phase cette année et déjà le Ministre a doublé la mise. Je crois, c'est la chose la plus importante. L'autre chose, c'est la visibilité, les rapports annuels sont devenus quasi systématiques. Ils sont même contents d'envoyer et d'envoyer. Et je crois que, c'est une bonne chose.

KS: ça, c'est la 1^{ère}, la 2^{ème} et la 3^{ème} partie, maintenant je voudrais m'intéresser un tout petit peu aux caractéristiques et aux compétences des leaders. Et comment est-ce que vous définissez un leader?

VR: Les francophones sont des antis vines.....

Bref, il y a un certain nombre de culture du colonisateur français, qui font qu'il est très difficile de trouver de très bons leaders. Si vous voyez des leaders des Anglo-Saxons, ils ont envi de se démontrer, de révéler ce qu'ils ont, le domaine qu'ils ont choisi, ça les passionne, etc. C'est rare de voir ça en Afrique francophone, vous voyez, c'est difficile, on n'y a pas pensé, c'est le vrai problème. Et ça se révèle au cours de beaucoup de conférences. A la limite, il faut que l'autre me présente, pour que je puisse dire tout ce que je suis ; mon collègue nigérian, mon collègue ghanéen. On ne sait pas se rendre. Comment un leader peut convaincre si lui-même, il ne montre pas ses atouts, sa capacités, ce qu'il fait qu'on ne peut que croire aux paroles qui sortent de ce qu'il dit ; ce n'est pas croyable, donc pour moi, c'est un vrai défi. J'ai pris simplement une promotion, je dis présentez-vous, chacun se lève va devant ses collègues et se présente; pourquoi il veut suivre cette formation. Sur cette promotion, c'est 2 seulement qui ont su se montrer leaders dans leur domaine. Ils croient dans le leadership. Il y a le dire qui est une chose, qu'on ne dirait pas génétique, mais qui est humain, qui est lié à l'individu. Mais, on peut apprendre à mon avis à enseigner le leadership dans nos Universités et autres. Il suffit de réellement montrer la voie aux étudiants. Cela ne saurait pas mal. C'est catastrophique qu'aux hommes, qu'aux femmes. Elles ne savent pas se présenter, elles ne savent pas ceci. Alors qu'on ne peut pas être leader si on ne sait pas se présenter, si on ne s'exprime pas ce que l'on pense, on ne peut pas diriger. Je pense que nous avons beaucoup à faire, ce n'est pas seulement au niveau des apprenants, je crois que c'est un culturel, on ne nous a pas tellement éduqué à nous révéler.

KS: Quels alors les compétences et les attributs de leader que vous exercer pour convaincre vos collègues de l'importance de la recherche à l'Université. Comment est-ce que vous y prenez?

VR: Les Africains font beaucoup attention à leur dirigeant. Les Allemands respectent leur dirigeant pour le suivre. Les Africains veulent voir les cas de dirigeant qui leur impose les modes de comportement, mais on n'a jamais compris. Si un Chef d'Etat arrive et veut être honnête avec lui-même et dit moi je lutte contre la corruption, il dit moi j'aime la promptitude, les attitudes au service et le respect dans le lire, etc. On le livre.

KS: Je crois que le leader devient le rôle ?

VR: Si, on veut entrainer les textes dans les textes....., Les gens s'étonnent pourquoi, au niveau des laboratoires, il y a près de 40 à 50 personnes. Comment on est si bien organisé, structuré et ceci depuis que le laboratoire existe. ..et pourquoi?

C'est parce-que moi-même, j'y crois, j'ai choisit la recherche, j'ai choisi l'enseignement supérieur et je crois que tout mon bonheur est lié à cela. Plusieurs étudiants deviennent directeur de cabinet, directeur de ceci cela ; pendant que j'étais étudiant, j'ai toujours fat de la politique, toute ma vie, je perdais plus de 15% de mes cours à la Faculté des Sciences Agronomiques. Cette étape étant terminée, j'ai carrément changé. Je crois qu'il faut montrer l'exemple, je n'aime pas perdre mon énergie si ce n'est pas pour faire de la recherche. Du moment où, je sais comment peut-on travailler correctement. Chaque année, on peut se lever et dire je veux travailler correctement. On se réunit d'abord, pour faire un PDA, un Plan de Travail Annuel. Toi Chef, voilà, ce que j'attends de toi, en fin

d'année, je vais t'évaluer par rapport à ça. Il faut obligatoirement avoir des lignes directrices. Quand on commande le travail, voilà comment, il faut le faire. Moi-même, j'ai amené un document administratif sur ma table qui passe pratiquement toute une journée sans traitement; c'est quand même.....

C'est ce qu'on a vu au niveau de l'Université, le premier rapport a été très critique et j'ai mis un accent sur les facultés qui ne produisent rien, Sciences Juridiques, Sciences Economiques il n'y arien du tout là. Cette année, j'ai sorti un indice, c'est parti du fait qu'il y a des écoles qui ont d'énormes potentialités budgétaires à savoir, notre Ecole Nationale d'Administration et Magistrature , notre Ecole de Management qui ont des budgets, qu'on peut dire de l'ordre de milliard pour l'ENAM et de demi-milliard pour l'ENAM ; mais 0 publication annuelle. Donc, alors, c'est tout simple, j'ai trouvé un critère pour montrer la relation qu'il y a entre le nombre de publication et le budget. Et en réalité, cette relation est inverse chez nous, je les ai dit mais si un évaluateur venait à vous demander de l'argent démontrer comment est-ce notre budget est en relation avec le nombre de publication. La courbe qu'on a tracée pour l'Université, est négative, c'est une courbe descendante. C'est-à-dire, la personne va dire plus on donne de l'argent moins nous produisons. Chers amis, si nous ne nous réveillons pas, c'est nous même qui allons décourager le bailleur de fonds. Alors, ça a réveillé l'attention des gens, c'est-à-dire, beaucoup de gens sont ici et qui transforme notre Université en un gros lycée. On vient seulement répéter les livres, ce que le professeur avait dit quand t-il était étudiant. On ne fait pas l'effort de créer de nouveaux enseignements, d'améliorer les connaissances reçues. Ça les a vraiment fait peur, j'ai dit mais, c'est ça. Ça veut dire que désormais l'Etat va dire pour que j'accepte même si le CAMES vous promu professeur titulaire, d'accompagner cela au niveau du budget, je vois si le fait d'ajouter un professeur titulaire, entraine t-il une masse de publication critique qui vont avec dans son laboratoire. C'est ça les critiques normalement, les performances que nous allons utiliser

pour l'évaluation au niveau de l'Université, ils ont dit, c'est ça les outils de gestion qu'il faut remettre dans les mains des pouvoirs publics politiques. Si nous voulons que l'Université multiplie notre salaire par 3, nous devons faire l'effort de travailler. C'est pourquoi, j'ai sorti ces critères dans le rapport, et là effectivement, ça à travailler en eux et j'ai distribué en 1000 exemplaire. Il ne faudrait pas qu'on dise que je cache quelque chose, toujours le monde doit nous regarder.

KS: La 5^{ème} partie, c'est toujours sur le leadership, vous aviez dire tout à l'heure que vous aviez une année en course c'est-à-dire, c'est votre dernière année. Si vous devriez créer un profil de quelqu'un qui viendra occuper votre position dans les années à venir quelles seront les qualités de leadership que vous allez lui proposer ou quelles seront les compétences.

VR: Je crois beaucoup Jean BOSCO, qui dit que l'enseignant doit donner le meilleur de lui-même, doit donner sa force à l'apprenant sans jamais attendre ce salaire qui est la récompense. Je crois que là où est la ressemblance, le plus important dans un poste pareil, c'est la base de données, il faut obligatoirement une base de données. Les Africains, tout le monde répète l'Administration est une continuité, mais quand tu vas demander où sont les documents sur lesquels vous aviez travaillé zéro. Il fait déjà ça, la seconde chose, il faut lire, si on décide de venir à l'Université, tout le monde ne va pas inventer la houe comme on dit dans l'enseignement que je donne peut être que c'est 0.02% de nouvelles connaissances que j'injecte dans ce qui se fait, ça veut dire que je suis obligé de lire 0,98% de nouvelles connaissances. Pour être sûr que je suis dans vague d'évolution, il faut lire, lire et lire, notre culture n'est pas la lecture c'est vrai, l'Afrique tient beaucoup plus former à écouter, à mémoriser. Les pays développés sont beaucoup plus former à lire. Donc, c'est ces efforts qu'il faut, il faut des bases de

données, l'Administration doit laisser des traces. Dans tout ce que nous faisons, on crée une base de tout tous ces rapports etc.

La seconde chose, moi j'aime toujours laisser l'individu dans ses indépendances à créer de nouvelles choses. J'ai fait ceci, tu dois faire ça, j'avoue que chacun est libre de bâtir normalement sa vision de la responsabilité qu'on lui confie. Quelqu'un qui vient, s'il pense qu'on peut faire autrement, mais donnez lui le temps de s'auto-évaluer. Moi, j'avoue quand je suis arrivé, j'ai dit ma vision rapidement, voilà comment j'entends développer un certain nombre de chose dans tel, tel secteur. Voilà, voilà, ok, si ça lui plaît, il peut prendre et améliorer, il peut aussi dire, j'ai d'autres voies mais au moins, il peut lire ce qu'on a fait pour pouvoir l'améliorer. Je crois que l'un des critères qu'on a mis ici et qui est intéressant pour prendre ce poste, il faut être au moins professeur titulaire. Donc, c'est déjà un grand garde fou. C'est-à-dire que si je viens à ce gros titre, et que moi, je ne cherche pas à créer et je ne veux vivre que des acquis, tant pire. Il faut créer, il faut innover, il faut se dire, je dois faire un peu plus que ce que l'autre a fait quelque soit le type de poste qu'on me confie, que j'améliore quelque peu, que je justifie que ma présence a amélioré quelque chose, c'est individuel.

KS: Si vous quittez, qu'est-ce que vous allez définir comme votre succès dans cette position? Et pourquoi?

VR: Je ne voulais pas venir ici, quand je me suis retrouvé ici, ce sont les collègues qui sont venus me chercher, la philosophie est

Voyez, on a reçu d'un étudiant, qui avait le master ceci cela. Quand ils arrivent le sujet, je dis bon allez me faire le point de la recherche. Il ya qui arrive sans protocole, sans rien, la tête vide, je dis mais non, nous ne travaillons pas comme ça. Sortez-moi, le protocole et c'est sur cette base là que je t'enverrai sur le terrain. Je peux te jurer que

dans 98% des cas, qu'ils arrivent, la dernière publication du domaine le plus insoupçonné lié au thème du bon de sortir remis à nos propres compatriotes de même thème. Va me faire ça, c'est toi-même qui dis, il y a telle publication. Il y a une gamme de culture scientifique qui est évident. Quand t-on n'a pas confié le domaine, le cadre théorique qu'il faut définir avant d'attaquer, c'est moi-même qui; ça manque toujours, rapidement, je commence pas collecter alors, je prends le temps réellement de voir qu'est-ce qu'il y a là dans. Qu'est-ce que les autres ont fait? Ce n'est quand même pas un domaine vierge, vierge ? D'autres ont travaillé avant moi, qu'ont-ils publié? Ok, il y a eu des mémoires, mais après les mémoires ou les thèses, il y a fait d'autres publications. Ce sont des questions élémentaires qui manquent.

Appendix 6

Anonymity of Interviewees

Rectorate Team:

Vice Rector of Academic Affairs and Professional Insertion (Rep. 1)

Vice- Rector of University Research (Rep. 2)

Secretary General of the University (Rep. 3)

Chief Accountant of the University (Rep. 4)

Director of Rector Cabinet (Rep. 5)

Head of Materials and Maintenance Service (Rep.6)

Head of Protocol and Public Relations (Rep.7)

Head of Personnel Service (Rep. 8)

Schools

9. Director of National School of Administration and Management (D. 1)

10. Director of National School of Applied Economy and Management (D. 2)

11. Director of CIFRED-UNB (D. 3)

Faculties

12. Dean of the Faculty of Economics Sciences and Management
(DF. 1)

13. Dean of Faculty of Law and Political Sciences (DF. 2)

Staff Unions Representatives

14. SYNARES- National Autonomous Union of Higher Education (S. 1)

15. SYNES- National Union of Higher Education (S. 2)

Student' Union

17. President of the National Federal of Students in Benin (S. 3)

Library' Representative

18. Deputy Director of the Library (DL)

Two Personnel in Administration

19. Human Resource Development (P1)

20. Career Administration (P2)

Appendix 7

Analysing data using Nvivo 9 Software:

Memos

Memos are ongoing repositories of my thoughts about the research as it evolves.

Colonisation impact

The VR Research seems to be suggesting that the biggest challenge is to 'put research as an engine to development', this has not being so, as education/ training inherited from former colonial power does not show the importance of research as a tool of development, but the educated elites were trained to service the interests of their masters.

University is about theories, education, but not about research. No we don't understand research in Africa; Research centres are affiliated to regional sites finance by international organisations. Research has never been part of training of elites; they have never been told that through research they could develop their own technological solutions.

"Briefly, there are aspects of the former colonial power - French's culture that make it very difficult to find effective leaders."

“Bref, il y a un certain nombre de culture du colonisateur français, qui font qu’il est très difficile de trouver de très bons leaders”

How strategic decisions are made:

There is no formal strategy as every day's priorities takeover long term strategising.

However he seems to be suggesting that there is a global vision which everyone work to; this is explain by daily constraints, and problems that stop one to take stock, then strategise. For him to put a 'strategy in to place is a 'luxurious' enterprise.

Furthermore He thinks that having strategic vision demands recoil.... he is suggesting that day by day management prevail than long term strategy.

In terms of strategic decision making the Dean seem to be suggesting that 'the buck stops with him', that he is the master thinker. Though sometimes may need input from his Professors' committee. Well I think he is realised that I noted his contradiction as he want to suggest later on that decision are collegial/participative.

The Dean seems to be suggesting that there is no 'deliberate strategy'. je l’ai dit c’est qu’il y, on subit, on fait cours par cours, on est des intellectuels c’est vrai que ça permet implicitement d’avoir une stratégie mais moi, ce que j’appelle stratégie, c’est d’avoir un document de 4 pages 5 pages, 10 pages qui je dis document stratégique sur le plan du contrôle des effectifs, sur le plan des équipements, sur le plan de la formation sur le plan des offres et dis voici ce que nous voulons dans 5ans, alors un document comme ça,

According to him strategy should be in a written document and should be concerned with how to manage the growing student number, how to deal with equipments issues, and curriculum issues.

Again he is suggesting that strategy should be voluntarism that is it should not only be institutional as when one to produce a strategy for new programmes that is a requirement that the Rector have to sign. "comme l'informatique il doit se battre, ce qui veut dire que chez nous, si on a du se fait ce document stratégique c'est qu'il y a une obligation légale, que ce n'est pas nous qui faisons les offres, c'est le Recteur, alors au montre où la stratégie aurait été quelque chose qui ne soit pas seulement institutionnelle, qu'il soit volontariste, on pourra prêter le mot Par exemple, est-ce que je veux dire maintenant, j'aimerais avoir un immeuble de tel standing pour les enseignants ou bien pour les étudiants ? Et pour cela, comment moi, je peux mobiliser de fonds pour l'avoir, c'est pour ça moi"

Leadership perspective

Doyen FASEG seems to define leadership as a 'chief', "a 'leader' is some one who lead people, that said it someone who is loved, adored, , but I cannot say that is evident in a faculty where the Dean is elected and where his has his hands and legs tied up by those who elected him"

It seems that being elected as a Dean may weaken the ability to lead effectively. The basis of leading is delimited, though one has campaigned on a basis of a plan, a vision for the faculty.

Node in NVivo

A node is “a container that lets you gathers source content relating to themes, people, and places and organisations or other areas of interest” (Nvivo 9, p.110).

Example of nodes:

Being elected

Reference 1 - 0.52% Coverage

Je n'ai pas de mandat moi, je suis normé pas le gouvernement qui est livre de me faire partir à tout moment qu'il le veut.

Reference 2 - 0.34% Coverage

Les recteurs, les vices recteurs, ils sont élus, l'agent comptable n'est pas élu.

Reference 3 - 1.14% Coverage

Donc, ils élus, ils ont l'autorité, moi je ne suis que leur serviteur mais il en a qui me font la cour mais moi, même entre nous, il n'y a pas ses rapports là. Puisque moi, j'ai bien une vue claire de ma fonction je suis là pour les servir, pour que la machine tourne.

<Internals\Directeur de l'Ecole Nationale de l'Economie Appliquée et de Management (ENEAM)> - § 5 references coded [5.53% Coverage]

Reference 1 - 2.43% Coverage

Je crois que je devrais parler de notre mode de désignation. Il est très important d'après les statuts de l'université, le responsable est élu par ses pairs. On appelle pair, tous ceux qui sont dans le corps enseignant, c'est à dire, les professeurs, les professeurs assistants, maître assistant. Donc tout responsable est élu par ses pairs pour une durée de 3ans, renouvelable une seule fois. Après les élections, ce responsable ne peut être élu par ses pairs pour un pourcentage, le pourcentage, c'est 75%.

Reference 2 - 1.24% Coverage

Ce système a commencé depuis que j'étais, c'est le 3^{ème} mandat, c'est-à-dire ça a déjà fait 6ans, j'ai pris fonction le 16 février 2010, donc quelqu'un avait déjà fait 6ans avant moi. Et ça, ça concerne tous les établissements de l'université d'Abomey-Calavi.

Reference 3 - 0.91% Coverage

Non, ici, ce n'est pas en ces termes qu'on parle, pour la campagne tu sors un programme et des autres concurrents aussi sortent leur programme. Quand tu es élu, tu les étudies tant que mal.

Reference 4 - 0.51% Coverage

Moi, je l'ai fait tout juste pour, avec quelques collègues à moi qui me présentaient dans la candidature.

Reference 5 - 0.44% Coverage

Les autres, moi j'ai tout juste donné ça dans mon programme s'ils veulent, ils adhèrent?

<Internals\\Doyen de la Faculté du Droit et des Sciences Politique> - § 2 references coded [0.57% Coverage]

Reference 1 - 0.17% Coverage

Oui, bon, moi c'est, j'ai un mandat de 3 ans et d'abord sur le

Reference 2 - 0.39% Coverage

Et, non le SG n'est pas élu il est administrateur et nommé par, c'est le seul qui n'est pas élu parmi le conseil Décanat tout le reste est élu.

<Internals\\Doyen FASEG> - § 3 references coded [3.59% Coverage]

Reference 1 - 0.89% Coverage

Le leadership, un leader, c'est un meneur d'hommes, le Doyen de la faculté, il a plus de 8000; 9000 du côté des étudiants et une cinquantaine du côté des docteurs dont il est le Chef. Mais le leader, c'est ce Chef qui est aimé, adoré, je dirais que dans une faculté

c'est pas évident, on des mains et pieds liés parce qu'on est élu, c'est eux qui vous ont élu.

Reference 2 - 0.90% Coverage

Oui, on est élu pas nos pairs, on est élu par les enseignants à 99% et il y a le personnel administratif, qui envoient 1 ou 2 représentants et les étudiants qui envoient 2 représentants, c'est au suffrage directe des enseignants voilà le quota qui est réservé aux étudiants et au personnel administratif donc au début, il faut manifester un leadership probablement.

Reference 3 - 1.80% Coverage

Il y a d'autres conditions, il faut être parmi les professeurs agrégés, même disons s'il y a un professeur titulaire qui est candidat, le professeur Agrégé ne peut pas être candidat, donc nous on avait un professeur titulaire qui a fait tous ses mandats donc il doit partir, donc c'est comme ça que c'était notre tout. Donc, c'est pour dire que, il y a quand même, c'est assez balisé quoi! La base de manœuvre comme leadership est faible. Maintenant, il y a quand même leadership, c'est que vous pouvez être leadership sans que vous ayez la majorité absolue et comme ça, on descend à un niveau, on permet à d'autres personnes non gradées de rentrer dans dedans. Donc, il y a quand même une campagne, vous faites votre plan, vision

Node: colonial heritage

Coverage]

Reference 1 - 4.20% Coverage

Bon le LMD, puis que nous sommes dans un système français, faut dire la vérité le système français les deux premières années que sois dans tout le système français, en France, les deux premières années c'est les taux là ,nous avons copiez fidèlement ce système là ,maintenant que faut t-il fait je crois que les gens ont déjà pensé à ça, le LMD le système LMD ou personne ne redouble c'est les systèmes de crédits il faut faire dix ans pour faire vos crédits, bon tempi c'est vous de voir, c'est à vous de faire votre programme de crédit, je crois que c'est la meilleur façon de régler ce problème là, les gens ils ont bon s'il veut faire son truc en dix ans il le faire en dix ans, c'est-à-dire il peut aller travailler s'inscris, c'est qu'il fait qu'il y a beaucoup d'échec, les gens ils sont pas boursier d'abord ils vivent d'expédiant ils peuvent aller travailler, apparemment au champ, c'est ce que les étudiants font même ils s'occuper du avant de venir, donc du coup bon il n'ont pas le temps de ces consacrer entièrement à leur étude, alors je crois avec le système LMD les gars s'organisent s'il veulent aller servir à la maison de l'hôtel bon, qui t'à lui d'aller servir dans un hôtel, il prend par exemple un crédit ou deux, je ne sais pas il fait ça à son rythme jusqu'à ce qu'il est en tout cas, alors que là maintenant si tu fait 3ans au premier cycle c'est fini, tu es dehors tu ne peut pas continuer alors que avec le système LMD tu peut faire dix ans avec un seul crédit je suppose, donc avec ça été bien pensez ce système là.

Reference 2 - 1.72% Coverage

Une réflexion en tant que telle non, mais bon au niveau du système nous on est dans le système traditionnel, ça veut dire que bon si tu n'arrive pas tu dois faire autre chose bon

c'est un peu ça le système déjà que on n'a pas de fubierle chômage, ce n'est pas pour encourager la médiocrité mais c'est pour dire que déjà qu'à la fin, il n'y a pas un système de sélection au début et tout le monde vient bon, moi j'aurais bien aimé franchement qu'il y est une sélection, d'abord c'est gratuit tout le monde s'inscrit, alors s'il y avait une sélection je crois que on aurait pu prendre ce que nous allons juger capable de suivre.

<Internals\\VRCRU> - § 1 reference coded [1.11% Coverage]

Reference 1 - 1.11% Coverage

C'est en partir vrai étant donné que la formation des premiers cadres en Afrique a été une formation pour servir l'administration, notamment le monde francophone. Ça, la formation pour avoir des cadres pour animer les différents et vu sur le plan de cet aspect. On n'a jamais montré que la recherche est une façon d'outiller le cadre pour qu'il soit à même de fabriquer ses propres technologies. C'est résoudre ses détenus ainsi de suite.



From John Oates
Chair, The Open University Human Participants and
Materials Research Ethics Committee
Research School

Email j.m.oates@open.ac.uk

Extension 52395

To Serge Koukpaki- EdD student- PI

Subject An exploratory study of the 'Role of strategic leadership in
higher education in the Republic of Benin: A qualitative
case study'

Memorandum

Ref HPMEC/2009/#613/2

Date 18 September 2009

Appendix 8: OU's ethical clearance

This memorandum is to confirm that the research protocol for the above-named research project, as submitted on 25th August 2009 and revised by email on 18th September 2009, is approved by the Open University Human Participants and Materials Ethics Committee.

At the conclusion of your project, by the date that you stated in your application, the Committee would like to receive a summary report on the progress of this project, any ethical issues that have arisen and how they have been dealt with.

John Oates
Chair, OU HPMEC

Appendix 9

Letter from the Rector

République du Bénin
Université d'Abomey-Calavi
RECTORAT
Cabinet du Recteur



Abomey-Calavi, le 26/11/2010

Le Recteur

N°1815-10/UAC/SG/VR-AAIP/SEOU

A

Monsieur Brian Martin
Head of Departement
Higher and Community Education
MORAY HOUSE SCHOOL of EDUCATION
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Paterson's Laod
Ilolyrood Road
Edinburgh EH8 8AQ
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Email : hce@cd.ac.uk

Objet : A/s autorisation d'accès aux recherches
au profit de Monsieur Serge KOUKPAKI.

Référence : Votre lettre en date du 07 septembre 2010
transmise le 19 octobre 2010 par une note de l'intéressé.

Monsieur,

Comme faisant suite à votre correspondance sus référencée, relative à l'objet ci-dessus mentionné, j'ai l'honneur de vous informer que la demande pour la réalisation du projet de préparation d'une thèse de Doctorat dans le cadre de l'Université d'Abomey-Calavi (UAC) par Monsieur **Serge KOUKPAKI** a été favorablement étudiée. Je dois cependant porter à votre connaissance que la mise en œuvre d'un tel projet exige que soit élaborée une convention de cotutelle.

Pour être valable, la convention de cotutelle devra être revêtue de la signature des responsables au plus haut niveau des deux universités impliquées dans la formation de Monsieur **Serge KOUKPAKI** à savoir : l'Université d'Edinbough et l'Université d'Abomey-Calavi (UAC). Un encadreur sera par ailleurs identifié à l'Université d'Abomey-Calavi (UAC) pour suivre et conduire sur place les travaux de l'intéressé.

Dans l'attente du projet de convention de cotutelle dont la signature marquera le début de la collaboration de l'Université d'Abomey-Calavi (UAC) à la formation de Monsieur **Serge KOUKPAKI**, je vous prie de croire, Monsieur, à l'assurance de ma parfaite considération.



Professeur Cossi Norbert AWANOU

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